



**UNIVERSITY OF NAIROBI**

**DEPARTMENT OF REAL ESTATE AND CONSTRUCTION MANAGEMENT**

**SCHOOL OF THE BUILT ENVIRONMENT**

**CHALLENGES FACING SETTLEMENT EXECUTIVE COMMITTEES IN SLUM  
UPGRADING PROGRAMS IN KENYA. A CASE STUDY OF ELDORET  
MUNICIPALITY.**

**BY**

**DANIEL MOKUA NYAIGO**

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**NOVEMBER, 2014**

**DECLARATION**

I declare that this Research Project is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references and that this work has not been submitted before for any other degree at any other university.

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Sign

Date

Daniel Mokuia Nyaigo

This Research Project has been submitted for examination with my approval as the university supervisor.

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Sign

Date

Mr. Erastus K. Museleku

## **DEDICATION**

I dedicate this Research Project to my wife Alice Kemari and my daughter Elizabeth Nyaboke for their love and support during my studies.

## **ACKNOWLEDGEMENT**

I am most grateful to my supervisor Mr. Erastus Museleku for his academic guidance throughout the period of writing this Research Project. I also thank God our Father and the Lord Jesus Christ greatly for giving me strength, confidence and grace throughout my academic career.

## **ABSTRACT**

The main objective of this study was to investigate the challenges facing Settlement Executive Committee (SEC) under slum upgrading programmes in Munyaka, Kamukunji and Huruma slums of Eldoret Municipality, Uasin Gishu County, Kenya. The specific objectives of the study were to: find out the composition of SEC membership under slum upgrading initiatives within the study area; examine the role of SEC in slum upgrading initiatives within the study area; identify the strategies used by SEC in execution of its role in slum upgrading within the study area; examine the challenges facing SEC in execution of its role in slum upgrading within the study area; and to recommend practicable solutions to curb the challenges. The target population in the study consisted of 57 settlement executive committee members. Since the target population was small census was used and the target population was the sample size. Primary data was collected from 57 SEC members by use of a semi structured questionnaire and secondary data was collected from published and unpublished information sources. Descriptive statistics was used to analyze data by way of percentages, weighted mean scores and standard deviation. The results have been presented using tables and charts. The findings indicated that there are a number of challenges that face SEC in execution of its role in slum upgrading programme among them inadequate facilitation of SEC. The results showed that SECs have no offices and other office equipment to effectively execute its role. Therefore, there is need for the government to facilitate SEC in terms of: provision of office and other office related equipment for effective execution of their role. This entails capacity building of SEC members via incentives such as trainings, exchange visits and monthly allowances so as to increase their commitment.

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## ACRONYMS

CBOS	-	Community Based Organizations
FBO	-	Faith Based Organizations
IACC	-	Inter Agency Coordinating Committee
IASC	-	Inter Agency Steering Committee
ICESCR	-	International Covenant on Economic and Social Rights
KENSUP	-	Kenya Slum Upgrading Program
KISIP	-	Kenya Informal Settlement Improvement Project
MCA	-	Member of County Assembly
MOLHUD	-	Ministry of Land, Housing and Urban Development
MSSG	-	Multi-Stakeholder Support Group
NGOs	-	Non Governmental Organizations
NSUPP	-	National Slum Upgrading and Prevention Policy
NUDP	-	National Urban Development Policy
PIU	-	Project Implementation Unit
SACCO	-	Savings and Credit Cooperative Society
SEC	-	Settlement Executive Committee
SPIU	-	Settlement Project Implementation Unit
UDHR	-	Universal Declaration of Human Rights
UN-HABITAT	-	United Nations Human Settlement Program
WASP	-	Water and Sanitation Programme

## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.1 Introduction**

It is approximated that about 75 percent of the world's one billion poor people live in urban slums without decent shelter or basic sanitation, health and other city services (UN-Habitat, 2008). Kenya's capital city; Nairobi, has some of the most dense, unsanitary and insecure slums in the world (World Bank, 1999). Almost half of the city's population lives in over 100 slums and squatter settlements within the city, with little or inadequate access to safe water and sanitation (CBS, 2003). Housing conditions in slums are deplorable and most residents have no form of secure tenure (UNCHS, 1996).

Proliferation of slums and informal settlements in Kenya has been caused by a host of factors that include; poor land tenure system, lack of an integrated plan, increased urban poverty, lack of decent cheap housing, lack of an adequate housing policy, lack of coordination amongst stakeholders, politicization of development, among others (Senteu, 2006). The global and local responses, paradigm shifts, have been highly politicized and compounded by numerous actors with different interests and unequal powers. Efforts to harmonize and coordinate stakeholders' actions have always borne mixed results (Kedogo, 2009).

The Kenya National Slum Upgrading Programme (KENSUP) was initiated to address the root causes of slums and informal settlements in the country and to offer practical solutions (UNCHS, 1996). It was the result of a meeting in November 2000 between the then President of Kenya and the Executive Director of UN-HABITAT at which the Executive Director offered to spearhead a slum upgrading programme for Kenya starting with Nairobi's largest slum, Kibera (RoK, 2006). The programme was initiated in 2001 with an overall goal of improving the livelihoods of at least 5.3 million people living and working in the slums and

informal settlements of Kenya; through provision of security of tenure, housing improvement, income generation and physical and social infrastructure (RoK (a), 2005).

The programme is currently in the implementation phase having gone through the inception and preparatory phases (RoK, 2006). During the inception and preparatory phase of slum upgrading programme; a number of studies, including but not limited to baseline surveys, situational analysis for Nairobi and the selection of initial sites for the upgrading projects were done. Implementation started with establishment of institutional arrangements at the National level where KENSUP Secretariat was established. The secretariat is charged with the responsibility of coordination of all activities and the day to day running of the programme. At the lowest level, Settlement Executive Committee (SEC) has been established at community level respectively for coordination of stakeholders within the settlement.

The most significant and innovative aspect of the Kenya Slum Upgrading Programme is the enabling of the slum dwellers and other stakeholders to be fully and actively involved in improving their own livelihoods and neighbourhoods. In order to solicit the desired full and active involvement of slum dwellers, the Programme establishes Settlement Executive Committees (SEC) in every project area as part of its institutional arrangement. The Settlement Executive Committee (SEC) is a committee formed by project beneficiaries through democratic elections to represent relevant stakeholders and the community members in the Kenya Slum Upgrading Programme (RoK, 2006).

## **1.2 Statement of the Problem**

The role of Settlement Executive Committee (SEC) is to mobilize and facilitate both settlement stakeholders and community for active participation in decision making, planning and implementation process to ensure ownership of the slum upgrading projects. This is achieved through creating unity among slum dwellers and stakeholders by ensuring that their

views and interests are well taken care of throughout the project phases (Jacinta J., 2010). According to Leah Muraguri (2011) SEC is composed of people from the community where the government is operating and that it's the main driver of Kenya slum upgrading programme since the government wants the people to know what it is deciding.

Despite this critical role of SEC in slum upgrading and prevention programmes, there is ineffective stakeholder coordination within settlements undergoing slum upgrading and this has led to: lack of ownership of projects by the communities, projects falling behind schedule and increased project costs due to litigation issues. For instance the Kibera Soweto East slum upgrading pilot project was delayed for over two years due to court case filled by disgruntled structure owners who felt that their interests were not taken care of by the project and moved to court to seek compensation from the government.

It is against this backdrop this study therefore aimed at filling this academic gap of investigating the challenges that are facing SEC under slum upgrading in Eldoret Municipality, Uasin Gishu County, Kenya.

### **1.3 Study Hypothesis**

HO: Inadequate facilitation of SEC has hindered it from executing its role in slum upgrading projects.

H1: Adequate facilitation of SEC has enabled it execute its role in slum upgrading projects.

### **1.4 Study Objectives**

The main objective of this study was to investigate the challenges facing SEC under slum upgrading programmes in Munyaka, Kamukunji and Huruma slums of Eldoret Municipality, Uasin Gishu County, Kenya. The specific objectives of the study were:

- i. To find out the ideal representation of SEC membership of each category of stakeholder within the study area;
- ii. To examine the role of SEC in slum upgrading initiatives within the study area;
- iii. To identify the strategies used by SEC in execution of its role in slum upgrading within the study area;
- iv. To examine the challenges facing SEC in execution of its role in slum upgrading within the study area; and
- v. To recommend practicable solutions to curb the challenges.

### **1.5 Research Questions**

The research aimed to answer the following key questions:

- i. What is the ideal representation of SEC membership of each category of stakeholder within the study area?
- ii. Is the role of SEC in slum upgrading within the study area critical?
- iii. Are the strategies employed by SEC in the execution of its role in slum upgrading initiatives in within the study area effective?
- iv. Are the challenges faced by SEC in execution of its role in slum upgrading initiatives within the study area manageable?
- v. What are practicable recommendations towards solving these challenges?

### **1.6 Significant and Justification of the Study**

Investigating the challenges facing SECs in slum upgrading and prevention projects could assist in having sustainable and successful slum upgrading and prevention projects. Besides, there is no previous study that had been done on investigation of challenges facing SEC in

slum upgrading in Kenya. It is crucial that slum upgrading and prevention projects in third world countries should register a degree of success. This is because: poor management of projects, lack of ownership of projects by the communities, untimely project completion, project variation costs due to litigation issues, and stalled projects have a larger impact in the least developed countries than in developed countries, albeit the smaller amounts of money involved in some of these projects. Financial resources are scarcer and poor populations are often not served by acceptable services and infrastructure and thus suffer more from the failure of slum upgrading and prevention projects. These findings also would be significant to various key players: the government ministries and agencies, International Aid Agencies, NGOs, CSOs and Academic researchers.

### **1.7 Scope and Limitation of the Study**

The study focused on investigation of the challenges facing SEC under slum upgrading programmes in Muniyaka, Kamukunji and Huruma slums of Eldoret Municipality, Uasin Gishu County, Kenya. It was conducted between September and November, 2013. The study embraced a cross section study design in the analysis. Besides, the study was limited to the objectives of the study because of time and resources.

### **1.8 Research Methodology**

The study used descriptive research design to investigate the challenges facing SEC under slum upgrading programmes within the study area. Primary data was collected from a target population of 57 SEC members by use of semi structured questionnaires. Secondary data was gleaned from published and unpublished information sources. The study employed census method is sampling and descriptive statistics in the analysis of data. Comprehensive study methodology has been covered in chapter three of the study.



## 1.7 Definition of Key Terms

<b>Slums:</b>	These are settlements within cities that have inadequate housing and squalid, miserable living conditions. These settlements are often overcrowded, with many people crowded into very small living spaces.
<b>Informal Settlements:</b>	These are settlements that have been put up illegally and are characterized by the same condition as slums.
<b>Slum Upgrading and Prevention:</b>	This is a national programme aimed at rehabilitation of existing slums and planning for growth for new settlements.
<b>Settlement Executive Committee (SEC):</b>	This is a settlement committee which is made up of representative of stakeholders within the settlement under KENSUP and KISIP.
<b>Kenya National Slum Upgrading Programme (KENSUP):</b>	This is a national programme that is involved with improvement of lives and livelihoods of those working and/or living in slums and informal settlements.
<b>Kenya informal settlement improvement project (KISIP):</b>	This is a world funded national project dealing with: strengthening of institutions and programme management, enhancing security of tenure, investing in infrastructure and service delivery and planning for urban growth in fifteen municipalities in Kenya.

## **1.8 Organization of the Study**

The Research Project has been organized into five chapters. Chapter one grounds the study; gives: problem statement, study objectives, scope, justification and definition of the terms.

Chapter two reviews literature relevant to the research objectives. It builds a theoretical foundation upon which the research is based. It commences with overview of Kenya slum upgrading programme, Kenya settlement improvement programme, the role of settlement executive committee, theoretical framework and empirical studies. The above secondary data then led to the building of the conceptual model that has been developed throughout the research.

Chapter three describes the study area, that is, location, size and its brief history. Besides, the chapter gives the methodology that has been used to collect primary data. It outlines the research design, the study area, target population, sample size and sampling procedure, data collection and procedure, instrumentation and data analysis.

Chapter four contains the findings of the research. The findings have been arranged according to the research objectives and presented in tables and charts. The data has been analyzed in preparation for the subsequent chapter, which has set out the summary and conclusions.

Chapter five contains the summary of the findings and conclusions about the research objectives through linking the research findings, with the literature review of chapter two. The chapter also contains the recommendations that are based on conclusions for policy and practice. Moreover, the chapter includes suggestions for further research.

## **CHAPTER TWO**

### **LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK**

#### **2.1 Introduction**

This section provides an overview of Kenya Slum Upgrading and Prevention Programmes and then reviews previous studies which have focused on the stakeholders' interests. It aims at comparing and contrasting the different authors' views on stakeholder analysis, relating this research study to conclusions drawn, highlighting any gaps and summarizing on the specific gap that this research study hopes to contribute to.

#### **2.2 The Kenya National Slum Upgrading Programme**

Kenya National Slum Upgrading Programme (KENSUP) and Kenya Informal Settlement Improvement Programme (KISIP) are two national programmes under Slum Upgrading and Prevention Department (SUPD) in the Ministry of Land, Housing and Urban Development. The mandate of the department is to improve the lives and livelihoods of those working and living in slums (Executive order no. 2 of 2013).

KENSUP is a key poverty Programme aimed at addressing the challenge of housing problems affecting the majority of the urban population who live and/or work in slums and informal settlements (Muraguri, 2011). According to the Government of Kenya the primary objectives of KENSUP includes but not limited to: develop a national wide slum upgrading and management framework; provide social and physical infrastructure; provide security of tenure and improved housing; institute good urban governance; enhance opportunities for income generation and employment creation; promote a culture for environmental conservation and management; enhance the capacity for research, planning, implementation, monitoring and evaluation; attract private sector finance and encourage investment in slum upgrading; and to address and mitigate the prevalence of HIV/AIDS (RoK, 2005(a)).

Since its inception, the following milestones have been realized by KENSUP: redevelopment of Soweto east Kibera pilot project where the following achievements have been outstanding: physical mapping and planning of Soweto east; development of Langat decanting site; relocation of Kibera residents to the flats; construction of over nine hundred housing units in Soweto East Zone A and now plans are underway of replacing the beneficiaries in the completed houses. Secondly, a number of social/physical infrastructure projects have been done in Homabay, Embu, Maua, Malindi, Bungoma, Kisumu, Mombasa, Nyeri, Kakamega, Nakuru and Nairobi. These social/physical infrastructural projects include among others classrooms, health centers, early childhood development units, rehabilitation of social hall and market stalls, upgrading of roads, and installation of highmast floodlights. Thirdly, development of Housing in Mavoko under Sustainable Neighbourhood Programme (SNP); this project comprises of a self sustained neighbourhood with a school, nursery school, health center, police station and a market center. Other achievements include: facilitation of formation of 30 Housing Cooperatives Societies in slums, and formation of Settlement Executive Committees, community groups and capacity building (SUPD, 2013)

### **2.2.1 KENSUP Institutional Set Up**

The institutional set up of KENSUP entails: Settlement Executive Committee (SEC), Settlement Project Implementation Unit (SPIU), Project Implementation Unit (PIU), Programme Secretariat and Interagency Steering Committee (IASC). IASC is the supreme Programme organ composed mainly of Accounting Officers of Key relevant Ministries, Local authorities, UN-HABITAT and Development Partners. The IASC set for approval of policy decisions, giving policy direction and reporting to the Head of State as the patron to KENSUP. This brings KENSUP to the centre of national decision-making and provides opportunity for fundraising. The inter-agency coordinating committee – IACC is an intermediary organ between the KENSUP operatives and IASC. It provides mechanisms for

coordinating all KENSUP related activities and monitoring of inputs of slum upgrading. KENSUP secretariat is the central operational level for coordinating and tracking of slum upgrading processes and day to day running of the programme (RoK, 2005(a)).

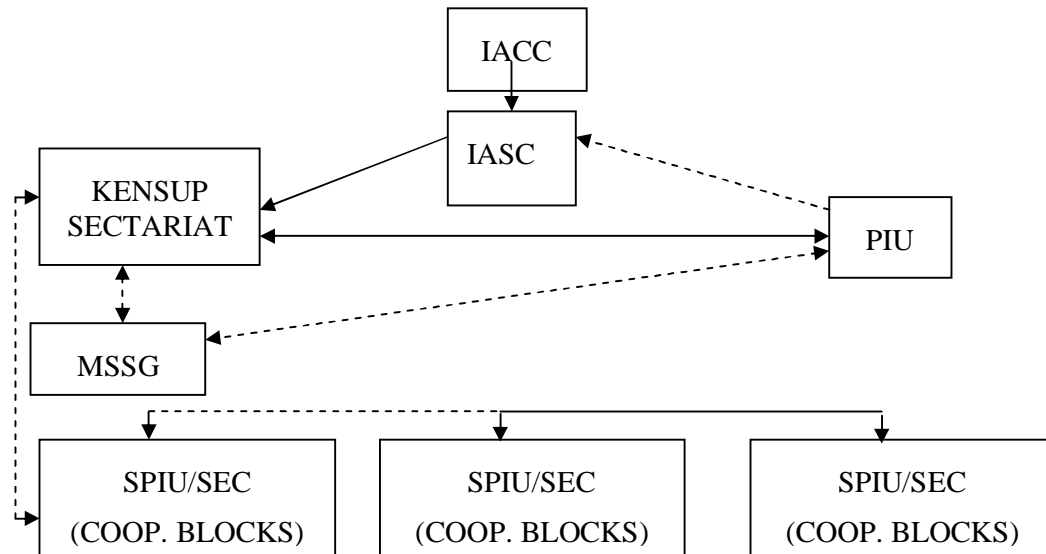
The project implementation unit (PIU) is an organ established at county governments (formerly at municipal level) to facilitate the formation of SPIU and coordinate the work of the SPIUs; assist in planning, design, and construction of required facilities; and provision of technical, logistical and resource support to SPIU. On the other hand, Settlements Project Implementation Unit (SPIUs) is the organ linking the programme secretariat, PIU and the community; it's responsible for mobilizing actors and coordinating their activities at settlement level (RoK, 2005(a)).

The main role for SEC is to act as a link between programme implementation units and the settlement community. SEC is responsible to facilitate community networks, cooperatives, and resource mobilization processes such as savings and credit schemes among others. It's the forum for advocacy for community rights and ideally ensures full community participation in decision making (RoK, 2005(a)). Multi stakeholder support group (MSSG) comprises of representatives of development partners, civil society, government, local authorities, and communities among others. It's a broad setup for general programme review and feedback that bring out experiences of various stakeholders to inform the programme. It's an ideal forum for fundraising and partnership participation (RoK, 2005(a)).

Kenya slum upgrading, low cost housing infrastructure trust fund (KENSUF) is a slum upgrading fund and is the key element in the memorandum between the government and UNHABITAT. The fund is a central depository of all mobilized financial resources for slum upgrading. It therefore draws funds from donors, CBOs, private sector and government budgetary allocations. The fund has the potential for pooling resources and instrumentation of

transparent resource allocation mechanisms. It's to be run by a board composition that includes public, private, and key donor contributors (RoK, 2005(a)).

**Figure 2.1 KENSUP Institutional Framework**



**Source: (RoK, 2005(a)).**

### **2.3 Kenya Settlement Improvement Programme (KISIP)**

KISIP is a recently launched project under slum upgrading and prevention department. It is funded by World Bank in conjunction with AFD and SIDA. Its basic objective is to improve living conditions in informal settlements in selected municipalities in Kenya; improving security of tenure and investing in infrastructure based on plans developed in consultation with the community. KISIP has created and tested a national framework for systematic improvement and continuing investments in informal settlements, which is expected to reach all informal settlements over the medium to long term (World Bank, 2011). Besides, KISIP supports the Ministries of: (i) Land, Housing and Urban Development (ii) Planning and Devolution in forecasting and managing future demand for housing and environmentally healthy neighborhoods as cities expand. KISIP's approach is similar to KENSUP except it's a

five year programme and only covers 15 municipalities in the country. Nevertheless, It is worth noting that KISIP is confined to the following components; tenure regularization; installation of physical infrastructure; Institutional strengthening; planning for urban growth (World Bank, 2011).

KISIP has recognized that community organization and mobilization is critical to its success. Community organization and mobilization is achieved through formation and operationalisation of SEC in the participating slums from the fifteen municipalities. Therefore, it's worth noting that, in most, if not all slum upgrading projects there is emphasis on producing local leaders who will operate through democratic decisions making structures. According to the KISIP project appraisal document (PAD), KISIP will strengthen mechanism of community participation by investing only in communities that prepare upgrading plans through fully participatory process (World Bank, 2011).

#### **2.4 Settlement Executive Committee**

Since the inception of the slum upgrading programs; a total of 48 SECs have been formed to date in slums undergoing slum upgrading activities. The first SEC was established in Kibera Soweto in the year 2007. Formation of other SECs in slums such as: Laini Saba and Soweto Kayore in Nairobi County and Ziwa la Ng'ombe in Mombasa were constituted in the following year. From the available secondary literature it's clear that the formation of SEC has taken an upward trend from the year 2011. For instance, in the year 2011 a total of 17 SECs were formed the following municipalities as follows: four in Naivasha, three each in Eldoret, Nakuru and Mombasa and two in Machakos (MoLHUD, 2013). This trend can be attributed to the role SEC plays and the coming on board of KISIP which adopted SEC as part of its institutional framework.

Leah Muraguri (2011) observes that the most significant and innovative aspect of the Kenya Slum Upgrading Programme is the enabling of the slum dwellers and other stakeholders to be fully and actively involved in improving their own livelihoods and neighbourhoods. In order to solicit the desired full and active involvement of slum dwellers, the slum upgrading programs establishes Settlement Executive Committees (SEC) in every project area as part of its institutional arrangement. But, a survey in settlement currently undergoing slum upgrading reveals that SEC has not been formed in all of them. The question therefore is; is the role of SEC critical or not? Or this scenario can be explained as the issue of sustainability?

## **2.5 Constitution of the SEC**

The Settlement Executive Committee (SEC) is a committee formed by project beneficiaries through democratic elections to represent relevant categories of stakeholders and the community members under slum upgrading programs (SUPD, 2013). SEC is the mouthpiece of individual settlements. This is a very critical organ of KENSUP that should facilitate dialogue both with local authorities, various stakeholders within the settlement and also the community members either individually or through their respective organizations/groups (RoK, 2006 (c))

According to Muraguri (2011) each project area should have SEC elected by slum dwellers living and /or working within the settlement. As part of the process; all existing and active local organizations and groupings within the project are identified and sensitized on the objectives and operations of the project; and the need to elect representatives. Each stakeholder group then elects a representative(s) to the committee. Committee members are sensitized and finally guided to elect office bearers from the elected committee members (SUPD, 2013). The Kibera Soweto SEC was established using traditional methods whereby the provincial administration was asked to mobilize and facilitate the election RoK, 2006(c).



From literature gleaned from other unpublished records from the ministry of Land, Housing and Urban Development it shows that there no specific guidelines on the types of stakeholders and the number to be include in the SEC formed as shown in table 2.1 and 2.2 below.

**Table 2.1 Category and number of SEC in Nairobi and Naivasha**

SECs       <b>STAKEHOLDERS</b>	Nairobi				Naivasha			
	Kibera Soweto	Soweto Kayore	KCC	Mariguini	Kamere	Tarabete	Kihoto	Karagita
Landlords	2	4	5	3	4	4	4	4
Tenants	5	2	2	3	4	4	4	4
Widows & Orphans	1	1	1	1	1	1	1	1
CBO	1	2	1	1	1	1	1	1
NGO	1	2	2	1	1	1	0	1
FBO	2	0	2	2	2	2	2	2
Physically Challenged	1	0	2	1	2	2	2	2
Youth	2	5	2		2	2	2	2
Marginalized	0	0	0	0	1	1	1	0
Flower Workers	0	0	0	0	0	1	0	0
Ex officio (D.O, CHIEF& MCA)	3	3	3	3	3	3	3	3
Total SEC membership	18	19	20	15	21	22	20	20

(Source MOLHUD, 2013)

**Table 2.2 Category and number of SEC in Nakuru and Machakos**

SLUMS STAKEHOLDERS	Nakuru			Machakos	
	Gilani	Kaptembwa	Kwa Rhoda	Swahili	Kariobangi
Landlords	4	4	4	4	4
Tenants	4	4	4	4	4
Widows & Orphans	1	1	1	1	1
CBO	1	1	1	2	2
NGO	1	1	1	2	2
FBO	2	2	2	1	1
Physically Challenged	1	1	1	2	2
Youth	2	2	2	2	2
Margnalized	1	1	1	0	0
Ex officio (D.O, CHIEF& MCA)	3	3	3	3	3
Total SEC Membership	20	20	20	21	21

(Source MOLHUD, 2013)

From the table 2.1 and 2.2 three or so points can be observed. The categories of stakeholders in each SEC are almost similar except for Tarabete SEC in Naivasha where a new category of Flower Workers has been introduced. This is unique to this settlement and hence during the constitution of SEC, the community members felt that this category should be represented. Secondly, the number of membership varies from the lowest of 15 SEC members in Mariguini to a maximum of 22 in other SECs.

However what is not clear from the literature is whether the process is subject to the abuse in respect to categories of representation and membership. It can be seen that the ideal representation of SEC in terms of categories: Landlords, Tenants, FBOs, NGOs, CBOs,

Physically Challenged, Widows and Orphans, Youth, Marginalized and the Ex officials. The committee size of 20 is seen to be reoccurring and hence taken as being representative enough and ideal for the committees.

As part of the process of constitution of SEC; community mobilization and sensitization is undertaken in order to create awareness. Opinion leaders are used in this process to sensitize the community and this is in line with implementation strategy of KENSUP and project appraisal document of KISIP. The community is then supposed to democratically elect a predetermined number of representatives of the SEC (RoK, 2006(c)). For one to qualify for appointment in SEC the following criteria is used for any candidate, a candidate must be: residing and/or working in the settlement for at least two years; an active member of one of the organizations or social groupings within the settlement; a record of ability to mobilize community members and good public relations within the settlement; interested and participated in community development projects or working within the settlement and should preferably be able to speak both Kiswahili and English (SUPD, 2013).

During elections the following guidelines are followed and adhered to: three persons are reserved for representatives of disadvantaged groups; every stakeholder would be gender sensitive during representative elections; the District Officer, Member of County Assembly (formerly councilors) and Area Chief are co-opted as members as ex-officio; representation is as per the ratio of members in that particular stakeholder category. Possible categories are: the structure owners, tenants, widows, orphans, disabled, faith based organizations, provincial administration officials; area member of county assembly and any other organization that might be in that particular area (SUPD, 2013).

For easier management of Settlement Executive Committees; the SEC members elect their Chairman, Vice Chairman and the Assistant Secretary. However, the Secretary comes from

SPIU team. Elections for SEC officials are held after every two (2) years; and those officials are eligible for re-election during the subsequent elections. Notice for such a meeting is given at least 21 days before the date for election. The term for SEC members is four (4) years after which another stakeholder's election is called. The stakeholders can re-elect their representative or replace him/her with another representative. Any vacancy of the SEC officials caused by death or resignation is filled by any of the SEC members and the official serve only the remaining period before elections for new SEC officials are held as per above. Thereafter the relevant stakeholder category is notified to elect a replacement to SEC. Vacancies arising from the SEC officials being removed from office for any reason is filled in the same manner as indicated in above (SUPD, 2013).

But a close assessment of the scenario on the ground paints a different picture. Since the formation of SECs in Nairobi (Kibera Soweto, Soweto Kayore, Laini Saba & KCC) and the one in Mombasa Ziwa la N'gombe; re-election has never been done and yet its well over four years. This poses a challenge in itself because some SECs such as Kibera Laini Saba has not been active; maybe, the reason is that the upgrading in Kibera is in phases and serious slum upgrading is yet to reach the village albeit, the access road and public toilets that has been done in the village among other initiatives.

## **2.6 Strategies employed by SEC**

Once SEC has been properly constituted and is in place it's supposed to meet once monthly at the site office, but should need arise a special meeting is convened; the chairman, or in his absence the vice chairman, chairs all SEC meetings; Quorum for any meeting is 2/3 of the SEC members; decision making is by simple majority voting of the members present in the meeting; Ex-official members are not eligible to vote; The secretary ensures that the proceedings of the meetings are minuted for record purposes; confirmed copy of the minutes

is distributed to the director of Slum Upgrading Department, county government and the KISIP programme coordinator in case of KISIP projects. Any SEC member who fails to attend three (3) consecutive meetings without apology or valid reason is considered and or/ recommended for replacement by the relevant stakeholder (MOLHUD, 2013).

It worth noting, that, SEC is a very important institution in Kenya Slum Upgrading Programs. For that reason any action which might call for the removal/and or replacement of officials or members is dealt with appropriately in the following manner: a committee comprising programme secretariat, SEC and the SPIU members will be constituted and given authority to arbitrate on the issue to be addressed; violation of laid down rules and guidelines constitute offences that are dealt with or referred to this committee; cases such as criminal offences, propagating false information and the like, constitute some of the cases to be referred to this committee; and, the committee's decision pertaining to the above requirements are final (SUPD, 2013).

All SEC members are expected to exhibit mature manners and portray good leadership image in conformity with their roles as members of SEC; In case a serious conflict arise within SEC members in the course of implementation of their roles, a sub-committee of all the KENSUP stakeholders are constituted to look into the issue and find the way forward (SUPD, 2013).

## **2.7 Role of SEC in the slum upgrading programs**

The general role of SEC is to: create awareness within the community on various components and activities of slum upgrading programs (Muraguri, 2011). SEC assist JPPT in enumeration process by working in partnership with appropriate organizations in the identification and documentation of residents of settlement area; ensure concerns and issues raised by the community members are conveyed to the programme secretariat/JPPT; be part of the dissemination team at the community level, assisting in selecting research

assistants/enumerators from the community; assist in verifying and confirming the various data collected during research team meetings; get views from the community on house design options; get views from the community members on construction; and, assist the community members in settling into their new environment by raising public awareness and education on their rights to basic social amenities and of maintaining good neighbourliness (RoK, 2005(b)).

During preparatory stage SEC participate in the identification of areas of interest for their capacity building. They participate in the development of key messages are incorporated into the information, education and communication (IEC) materials; document and report key views the community might have on tenure systems to be adopted; document and update information on key case studies with regards to HIV/AIDS impacts and propose activities by KENSUP; actively participate in the dissemination of information on the process at the community level to the media through reports to the secretariat(Muraguri, 2011).

SEC is also responsible for disseminating information from stakeholders and partners to the community through focus group discussions; identify/ establish and maintain community – based communication networks to ensure that reliable information flows to the community; continuously maintain an update of information from the community on the upgrading process through fortnightly meetings at the site office; provide reports to the programme secretariat on community – based issues as regards the programme process; inform the community members of decisions made by the JPPT/programme secretariat; and, inform the community members of any planned visits to their area by any visitor (Muraguri, 2011).

At project implementation stage SEC members assist in identifying the unskilled construction labour force from the community members; update the community members on the construction progress; and, when necessary, accompany the technical staff and other visitors

during their inspection visits (Karari, 2009). During Monitoring and evaluation stage; SEC and JPPT jointly develop appropriate community based tools for monitoring and evaluation; and, SEC actively participate in the monitoring and evaluation of the programme, as appropriate, including after each specified activity/phase for feedback and improvement of future phases. Where necessary, SEC participates in peer exchange visits to share lessons learned and best practices in slum upgrading (Muraguri, 2011).

According to RoK (2005(b)), the ideal role of SEC entails: link community with other KENSUP organs; safeguard interest of the community; identify problems from various groups; present views of the group members; mobilize and sensitize community, conflict resolution; collect correct information and pass it on to the community and vice versa; monitor activities relevant to the project; monitoring projects at the settlement-identify project origin, funding arrangements, how to relate to KENSUP, benefit to the community, tendering process; conduct tours for visitors to the settlement ; advocacy-security of tenure; identifying beneficiaries of decanting process; attending meeting of KENSUP etc.

## **2.7 Theoretical Framework**

### **2.7.1 Stakeholder Theory**

This theory was advanced by Freeman in 1983. According to him, a firm is in relationships with a wide variety of constituents in its environment which he termed as, “stakeholders” and indicated that they have claims on the firm that compete with the other claims of shareholders. Freeman argued that the purpose of a firm is to consider, coordinate, and balance the interests of its stakeholders with its own interest which is maximization of shareholders value (Freeman, 1984). From this perspective therefore, managers are obligated not just to shareholders but also to a wide variety of individuals, groups, or organizations, such as employees, customers, suppliers, and the community (Freeman, 1984). The success

of the manager therefore lies in his acknowledgement of the interests of this wide variety of constituents. Freeman (1984) defined a stakeholder as any group or individual who can affect, or is affected by the achievement of an organization's purpose.

It can be inferred from this theory that the SEC is an organ which brings together all interest from the stakeholders in a settlement to one table and prioritizes them in any decision of that settlement. As outlined earlier, SEC has a special role to play under various phases of the upgrading project cycles and it's crucial in the institutional framework of KENSUP. The same organ is used as an entry to settlements under KISIP. Therefore, the role KENSUP and KISIP should entail consideration, coordination, and balance of the interests of its stakeholders within slums with its own interest which is having effective slum upgrading.

How well the projects are prioritized, information flow, community involvement and participation, and ownership of projects depend on how well SEC is managed within the settlement. Therefore, to ensure proper representation of stakeholders within a settlement everything must be done right from the constitution of SEC, its operational and management.

### **2.7.2 Equity Theory**

Equity theory as is understood and applied today was developed and formalized by Adams in 1963. The goal of equity theory is to predict when people will perceive that they are being treated fairly or unfairly, and how they will react when faced with an unfair situation (Adams, 1965; Wilkens & Timm, 1978). It asserts that people are most satisfied when they perceive that they are being treated fairly in their relationships. Hayibor (2005) describes equity theory as both a process theory of motivation, and cognitive theory. As a process theory it provides a generalized explanation of the processes that lead to choices among alternative courses of action, varying degrees of effort expenditure, and persistence over time, while as a cognitive theory it focuses on people's perceptions (Hayibor, 2005).



Its applicability in the management of various stakeholders' interest there is fair treatment of all stakeholders within the settlement. This is achieved right from the formation of SEC through to its management. SEC is a democratically organ where the priorities of the settlements is floated and agreed upon.

## **2.8 Empirical studies**

Kusienya (2010) in his study on relocation action planning in slum upgrading; a case of Kibera's Soweto-East informal settlement found out that the respondents didn't knew the coordinating mechanism used for guiding the actors involved in the slum upgrading process in Soweto East. Also, his findings unfolded the challenges facing the general implementation of the slum upgrading programmes within Soweto East Village. Outstanding among them being the lack of contributions to cooperative societies and therefore beneficiaries stand not to get a house once the redevelopment process is complete; the redevelopment process of the upgrading process complicated and coupled with the pending court case, the residents fear that they may not return to occupy their previous land and a challenge of vested interests among the actors that seem to threaten sustainability and success of the programme (Kusienya, 2010).

He recommends for a better system of identification that indicates the spatial location of the households by SEC as well as its mandate should be well defined so as to reduce the overlapping of roles among the various organs of the programme. On the relocation process he suggests that it should be handled by to SEC as they are better placed to understand the situation on the ground. He also notes the need to develop terms of references (TOR) for the SEC and all the stakeholders involved in the entire stages of KENSUP. He recognizes the need for community involvement in upgrading projects; this he reasons that could be achieved through improvement of the capacity of the SEC so as it would be able to carry out

all the community upgrading project activities since SEC understand the community issues better (Kusienya, 2010).

In her analysis Jacinta looked at changing positions and interests of stakeholders under the KENSUP in Soweto East, Kibera pilot project. The findings of the study indicated that the interests of stakeholders and the choice of alternative solutions affect the level of acceptance that each stakeholder has about the project. Depending on how the interests are fulfilled, and on how the focal organization addressed and acknowledged the interests, each stakeholder will choose to accept or not accept project decisions. The acceptance level determines to a large extent the position that each key stakeholder (of being an opponent or a proponent) takes towards the project, and thus the impact each key stakeholder imposes upon the project (Juma J. 2010).

Jacinta recommends that the initiator of the project (in this case the government) should identify all the stakeholders who will be affected or affect the project, then together with the initial stakeholders, a participatory stakeholder analysis process should be conducted (Jacinta J. 2010). The same sentiments are supported by Marie Huchzermeyer in her study on “Slum Upgrading in Nairobi within the Housing and Basic Services Market; a Housing Rights Concern” found out that “people living in slums, and whose economic stakes are linked to the housing and service delivery situation in the slums, are able to predict the impact that a public intervention may have on their economic standing. For instance, SEC members who originate from the community and are close to the ground, thus in conversation with the residents, may also make accurate predictions. It is the community and SEC who are best positioned to propose meaningful upgrading intervention to be taken, be it by government or international donors, and to predict its impact ‘(Huchzermeyer, 2006).

Karari (2009) in his study on the challenges facing Kenya Slum Upgrading Programme in the realizing the international elements of the right to housing: a special focus on Kibera slum in Nairobi Kenya. The objective of the study was to investigate the challenges facing Kenya Slum Upgrading programme with a special focus on Kibera slum which was aimed at identifying the existing gaps and recommending appropriate interventions that would bridge such gaps towards the realization of adequate housing in line with the international elements of rights to housing (Karari, 2009).

The findings of the study showed that slum upgrading programme was quite unpopular among the slum dwellers and other stakeholders. The reason for unpopular can be attributed to lack of trust on the side of the project beneficiaries and government on the other side. He recommended that there was need to re-evaluate the programme with the participation of all stakeholders in a bid to solve the inherent challenges and forge the way forward for a comprehensive and holistic upgrading initiative. This inclusivity of settlement stakeholders is critical in the success of slum upgrading programmes/projects and is best achieved through presence of SEC within a settlement (Karari, 2009).

Another major finding in Karari's research is that many target beneficiaries including the NGOs were not involved in the decision making process. This was so because majority of the respondents indicated that they were not aware of the upgrading programme and they were not stakeholders. Another issue was that of lack of non-representation in the SEC. it can be argued that lack of information flow, representation or active involvement results to lack of ownership of the programme. He recommended that KENSUP should actively involve all the stakeholders in dialogue and decision making through stakeholders committees (Karari, 2009).

Another issue was on the representation of the beneficiaries in KENSUP which he found out that Kibera SEC was not probably constituted but rather hand-picked. For proper involvement he observed that SEC must have full backing from the target beneficiaries and elected in a transparent and mutually agreed procedure. The government should enact a policy for the right to participation, involvement and information of the target beneficiaries in the slum upgrading programme. The beneficiaries must actively be involved at conceptualization of the ideas, development of intervention strategies and at the implementation and sustainability levels. It is essential to note that decisions made by the target beneficiaries have more impact and are more long lasting than the decisions made on behalf of the beneficiaries. The programmes impact assessment by all the stake holders is vital to evaluate its effect on the life of the beneficiaries and what it means for them. This will help in designing timely intervention activities to address undesirable effects (Karari, 2009).

The final challenge from his study was that of politicization of the upgrading. It was evident from his study that slums were a center of interest for influential politicians and government officers. With their high population slums are a fertile ground for votes. He noted that politicians and government officers own structures or are either landlord in Kibera. The politicians use NGOs as vehicles to deliver rewards to supporters. This had made the NGOs deviate from their responsibilities for the poor. It then beats any reason how the same people will support an upgrading programme intending to displace them. The rights of the slum dwellers should not be sacrificed by cheap and temporary political rewards through adequate policies and laws that should be enacted to protect the poor from political manipulations (Karari, 2009).

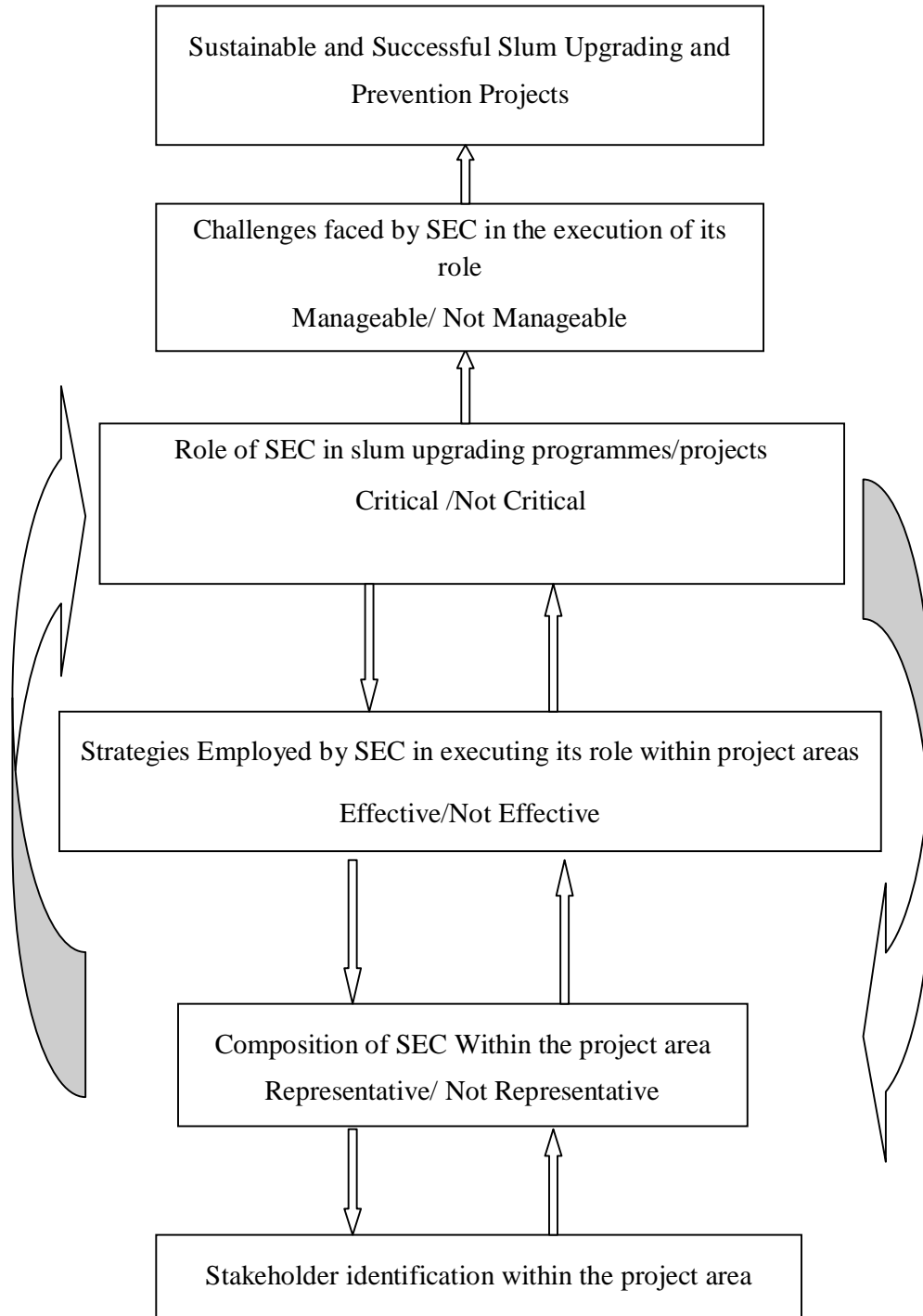
## **2.9 Identification of Gaps**

A review of the literature gives rise to some key themes and theoretical background influencing the research. It also depicts much work done under Kenya Slum Upgrading Programme and Kenya Informal Settlement Improvement Project. At settlement level both of these projects use SEC as an entry point. Of interest is that SEC has not been replicated in all project areas and no effort has been done on the investigation of the challenges facing them under slum upgrading programmes in Kenya.

## **2.10 Conceptual Framework**

A conceptual framework explains, either graphically, or in narrative form, the main things to be studied – the key factors, constructs, or variables – and the presumed relationships between them (Miles & Huberman, 1994). This study sought to investigate the challenges facing SEC under slum upgrading programmes in Munyaka, Kamukunji and Huruma slums of Eldoret Municipality, Uasin Gishu County, Kenya. The study has been conceptualized in figure 2.2 below.

**Figure 2.2 Conceptual Framework**



**(Source: Researcher, 2013)**

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter outlines how the research study was conducted. It includes the research design, study area, target population, sample size, sampling procedure, data collection procedure, instrumentation and data analysis.

#### **3.2 Research Design**

Descriptive research design was used in the study to investigate the challenges facing SEC under slum upgrading programmes in Munyaka, Kamukunji and Huruma slums of Eldoret Municipality, Uasin Gishu County, Kenya. This research design was adopted because of its appropriateness in describing the current situation of phenomenon (Kothari 2009). The research was designed to gather data that provided a detailed description of events in an effort to answer the research objectives. The research was administered through the semi-structured questionnaires.

#### **3.2 Study Area**

The study area is in Eldoret municipality. Eldoret town is the capital and the main urban centre in Uasin Gishu County and has a population of 289,380 in 2009 (Knbs, 2009). Eldoret town is currently the fastest growing town in Kenya. It is also the second largest urban centre in mid-western Kenya after Nakuru and currently the fifty largest urban centres in Kenya (<http://treasuresadventure.com>). The study was carried out in three slums namely; Munyaka, Kamukunji and Huruma/Mwenderi because of presence of both KENSUP and KISIP projects within these slums and existence of SEC in the three slums.

### 3.3 Target Population

The target population in the study consisted of 57 settlement executive committee members.

The target population details are captured in table 3.1

**Table 3.1 Target Population**

#	Institution	Population Size
1.	Munyaka Slum	20
2.	Kamukunji Slum	19
3.	Huruma Slum	18
<b>Total</b>		<b>57</b>

**Source: (Ministry of Lands, Housing and Urban Development, 2012)**

### 3.4 Sample Size and Sampling Procedure

#### 3.4.1 Sample Size

Since the target population was small census method was used and the target population was taken as the sample size. Therefore, the sample size was 57 SEC members from the study area.

**Table 3.2 Sample Size**

#	Institution	Population Size	Sample size
1.	Munyaka Slum	20	20
2.	Kamukunji Slum	19	19
3.	Huruma Slum	18	18
<b>Total</b>		<b>57</b>	<b>57</b>



### **3.4.2 Sampling procedure**

Census method was adopted in selecting the sample of the study because the target population was small. A sample size of 57 SEC members was, therefore, selected.

### **3.5 Data Collection and Procedure**

Primary data was collected by use of a semi structured questionnaire. The questions were designed to elicit data in accordance with the research questions. The questionnaires were administered by hand and this enhanced probing. Respondents were given time to answer the questionnaires. When the response time was over, the questionnaires were collected by the researcher and research assistants. Then, the questionnaires were examined to ensure that they were fully filled.

Secondary data was gleaned from published and unpublished information sources. This included archived information mainly through literature review from libraries, internet sources, documents and reports from government agencies.

### **3.6 Instrumentation**

#### **3.6.1 Validity**

Validity of instruments was assessed for purposes of appropriateness to gather the required information and answer the research objectives. In order to ensure content validity, the researcher sought an expert opinion from the supervisor and senior workers from KENSUP and KISIP secretariat. Their recommendations were incorporated in the questionnaire. The questionnaires were piloted on 5 SEC Members from Kaptembwo Slum Nakuru for preliminary completion of the questionnaire and comments. Their comments were included in

the questionnaire and the sample used in the pre-test study was not included in the final sample of the study.

### **3.6.2 Reliability**

Research instruments should be reliable to collect confidential information from institutions to describe certain phenomenon within the role of SEC in upgrading projects. In ensuring reliability of the research instrument, sampled individuals were assured of confidentiality during the interviews and informed that the data would be used for academic research only

### **3.7 Data Analysis**

The data collected was edited for accuracy, consistency and completeness. The data was then coded and cross - tabulated for the responses to be statistically analyzed. Descriptive statistics was used to analyze data by way of percentages, weighted mean scores and standard deviation. The results have been presented using tables and charts.

## CHAPTER FOUR

### DATA ANALYSIS, INTERPRETATION AND PRESENTATION

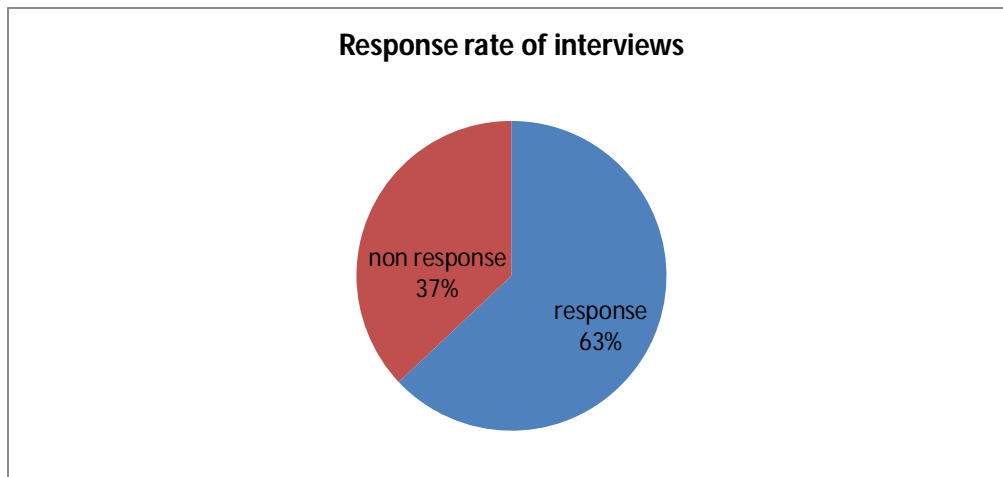
#### 4.1 Introduction

This chapter presents the research findings from the study. The information from this research is categorized into themes, each relating to the research objectives.

#### 4.2.1 Questionnaire response rate

The data for this study was collected within two weeks using a semi structured questionnaires. The questionnaires were administered to 57 respondents. Out of these, 36 questionnaires were successfully completed and returned to the researcher by respondents, giving a response rate of 63% which was considered sufficient, fit for analysis and reporting. Only 21 questionnaires were not returned accounting for 37%. This response rate is in line with Mugenda (1999) who observed that a response rate of 50% is adequate for analysis and reporting, a response rate of 60% is good and response rate of 70% and above is very good.

**Figure 4.1: Response rate**



**Source: Field Survey (2013)**

### 4.2.3 Description of respondents

58% of respondents were male and 42% were women. Of these respondents; a number of them (44%) fall under the age bracket of 36- 50 years and only 14% are under age of 21 years as show in table 4.1.

**Table 4.1: Description of the respondents**

Description	Distribution	
	Frequency	Percentage
<b>Gender</b>		
Male	21	58%
Female	15	42%
Total	36	100%
<b>Age</b>		
Below 21 yrs	5	14%
22-35 yrs	9	25%
36-50 yrs	16	44%
Above 51 yrs	6	17%
Total	36	100%
<b>Settlement</b>		
Munyaka	11	30%
Kamukunji	10	28%
Huruma/Mwenderi	15	42%
Total	36	100%

**Source: Field Survey (2013)**

From table 4.1 above, 42% of the respondents were drawn from Huruma/Mwenderi slum, 30% from Munyaka slum and 28% from Kamukunji slums.

#### **4.2.4 Nature of upgrading projects within the slums.**

The respondents were required to indicate which slum upgrading projects were under implementation in their settlements. Majority of respondents indicated that there were a number of projects then ongoing in their settlements. Under KISIP, the projects include were: Roads, Footpaths, drainage works in Munyaka, Huruma and Kamukunji slum areas. Installation of Eight floodlights in the same slums and sanitation works i.e. Rehabilitation of existing sewers and construction of ablution blocks. Under KENSUP a number of activities had been undertaken key among them being the formation of three housing cooperatives and construction of 10 classrooms, Offices & sanitary facilities in Huruma primary school.

#### **4.3 Ideal representation of SEC membership of each category of stakeholder**

The first objective of the study was to find out the ideal representation of SEC membership of each category of stakeholder within the study area. To achieve this objective, the respondents were asked to indicate the number of representative of each stakeholders as represented in SEC, whether SEC is a representative of settlement stakeholders, the stakeholder not represented in SEC, the ideal representation of SEC for effective execution of its role and finally, they were supposed to indicate how the ideal representation should be; and, the challenges they encounter as a result current representation of SEC.

On stakeholders represented in SEC, their responses are shown the table 4.2 below.

**Table 4.2: Stakeholders representation in SECs.**

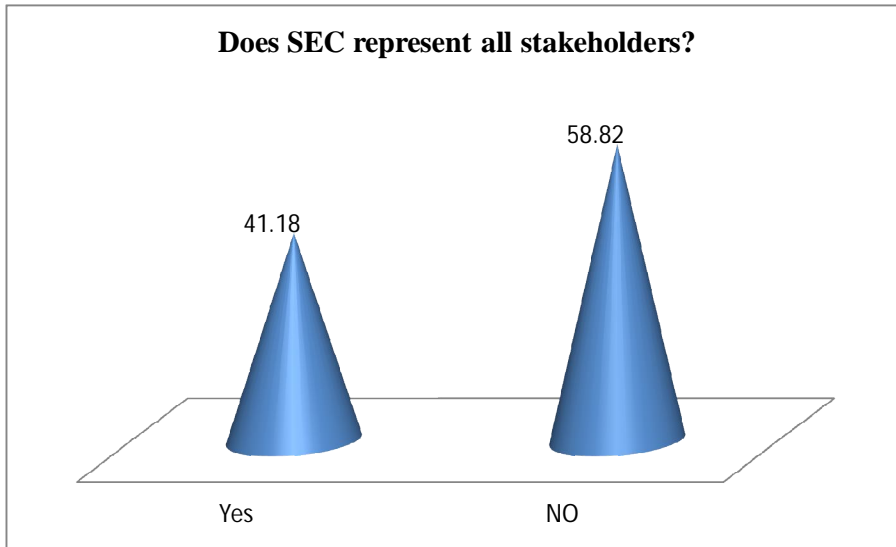
Stakeholder	Slum			Semi - Total	%age
	Huruma / Mwenderi	Munyaka	Kamukunji		
landlords	4	3	4	11	19.30%
Tenants	4	4	3	11	19.30%
FBOs	2	2	2	6	10.53%
CBOs	1	1	1	3	5.26%
NGOs	1	1	1	3	5.26%
Youth	2	2	2	6	10.53%
Widow/Widower	1	1	1	3	5.26%
Marginalized Group	1	1	0	2	3.51%
Physically challenged	1	1	1	3	5.26%
Area DO, Chief & MCA	3	3	3	9	15.79%
<b>Total</b>	<b>20</b>	<b>19</b>	<b>18</b>	<b>57</b>	<b>100%</b>

**Source: Field Survey (2013)**

The findings from table 4.2 indicate that that the composition of stakeholders from study area are: landlords and tenants consist of 19.30%, FBOs and Youth comprise of 10.23%, CBOs, NGOs, widows/widowers and physically challenged take 5.26%, marginalized group consist of 3.51%, and finally ex-officials (Area Ass. Deputy County Commissioner, Chief & MCA) consist of 15.79% of SEC membership. These findings indicate that constitution of SEC in terms of members varies across the three slums and perhaps this can be attributed to the fact that every slum has got unique stakeholders and this could be the determining factor despite the existence of the guidelines on the composition of SEC.

On whether SEC is a representative of all stakeholders within settlement; majority of the respondents (59%) indicated that SEC doesn't represent all settlements' stakeholders whereas, 41% of the respondents indicated otherwise as show in figure 4.2 below.

**Figure 4.2: Whether SEC is a representative of all settlement's stakeholders**

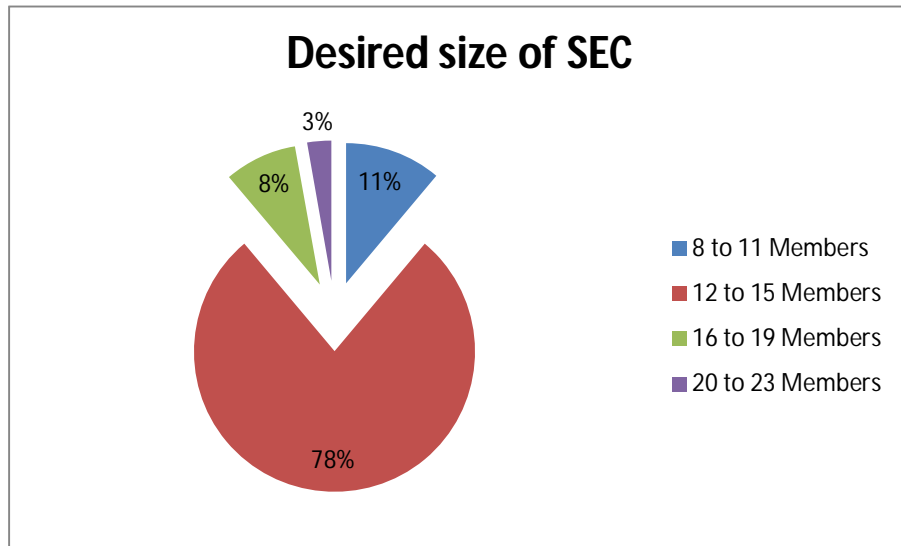


**Source: Field Survey (2013)**

In the analysis of content based questions; a greater number of respondents who had indicated that SEC isn't a representative of all settlement's stakeholders recommended that the following stakeholders ought to be included in SEC: Women, Housing Cooperatives (under slum upgrading), and learning institutions within slums.

On the ideal committee size; majority of respondents (78%) indicated that the ideal size of SEC is 12 to 15 as shown below.

**Figure 4.3: Ideal committee size**



The respondents were supposed to indicate the representative for each settlement stakeholders in the SEC. The findings are shown in table 4.3 below.

The result of the findings indicate that each category of stakeholder should have one representation in SEC as opposed to current situation where some stakeholders such as, landlords and tenants are overrepresented in the committee. These findings point out that in the current situation where stakeholders are overrepresented; they tend to influence the decisions of SEC to their favour and this poses a challenge to SEC on prioritization of the interests of the community over stakeholder.

On the challenges encountered by SEC as a result of its current constitution; the outstanding ones were: conflicting interest of the overrepresented stakeholders such as Landlords and Tenants, changing positions interest from institutional stakeholders such as NGOs, CBOs and FBOs and lastly non commitment from non-institutionalized stakeholders due to lack of incentives.



On the ideal representation of each category of stakeholder in SEC the findings have been summarized in table 4.3.

**Table 4.3: Ideal representation of each category of stakeholder in SEC**

<b>Stakeholder</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>Desired Representation</b>
Landlords	72.22	5.56	5.56	16.67	1
Tenants	58.33	16.67	11.11	13.89	1
Faith Based Organizations	69.44	16.67	8.33	5.56	1
Community Based organizations	86.11	11.11	2.78	0.00	1
Non-governmental Organizations	91.67	8.33	0.00	0.00	1
Youth	77.78	22.22	0.00	0.00	1
Widow/Widower	94.44	2.78	2.78	0.00	1
Marginalized group	83.33	16.67	0.00	0.00	1
Physically Challenged	97.22	2.78	0.00	0.00	1
Women	100.00	0.00	0.00	0.00	1
Housing Cooperatives	100.00	0.00	0.00	0.00	1
Ex official	0.00	0.00	100.00	0.00	3
<b>Total</b>					<b>14</b>

In nutshell, the findings of the study have revealed that SEC is wrongly constituted and thus, the findings support those of Karari (2009) who observed that there is an issue with the representation of the beneficiaries in KENSUP because in his study he had found out that Kibera SEC was not properly constituted but rather undemocratically constituted. For proper involvement he recommended that SEC must have full backing from the target beneficiaries and elected in a transparent and mutually agreed procedure.

#### **4.4 The role of sec in various project phases**

The second objective of the study was to examine the role of SEC in slum upgrading initiatives within the study area. To meet this objective, respondents were required to give the role of SEC during project inception stage, execution stage, monitoring & evaluation stage and final at replication stage. They were also supposed to give their views on whether the role of SEC was critical or not.

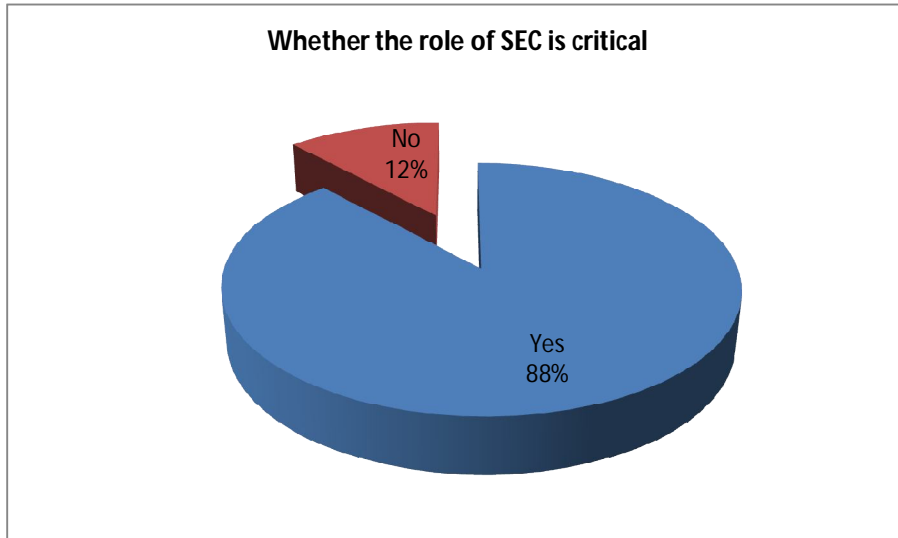
In the analysis of content-based questions, it emerged out that the role of SEC during project inception stage was: documentation and reporting of key views the community might have on slum upgrading projects to the programme secretariat, assist in the dissemination of information about upgrading project to community and other stakeholders; and, coordination of stakeholders' interest in project inception stage.

At implementation stage majority of respondents indicated that the role of SEC is that of: assisting in identifying the unskilled construction labour force from the community members; updating the community members on the construction progress; and, when necessary, accompanying the technical staff and other visitors during their inspection visits. The findings point out that SEC also, ensures that the interests of various stakeholders are taken care of during execution of project activities.

In the monitoring and evaluation stage of the slum upgrading projects, SEC plays a role of the clients watchdog by ensuring that the project goes as per planned and if issues arise in the process of implementation, they raise them with the contractor; implementing agencies; and, KENSUP secretariat. Moreover, SEC ensures that the community interests are taken care of in slum upgrading projects. At replication stage SEC plays a critical role through participation in peer exchange visits to share lessons learned and best practices in slum upgrading.

On whether SEC played a critical role in slum upgrading projects; a majority of respondents (88%) indicated yes and only 12% said no as shown in figure 4.4

**Figure 4.4: Whether SEC plays a critical role in slum upgrading projects.**



**Source: Field Survey (2013)**

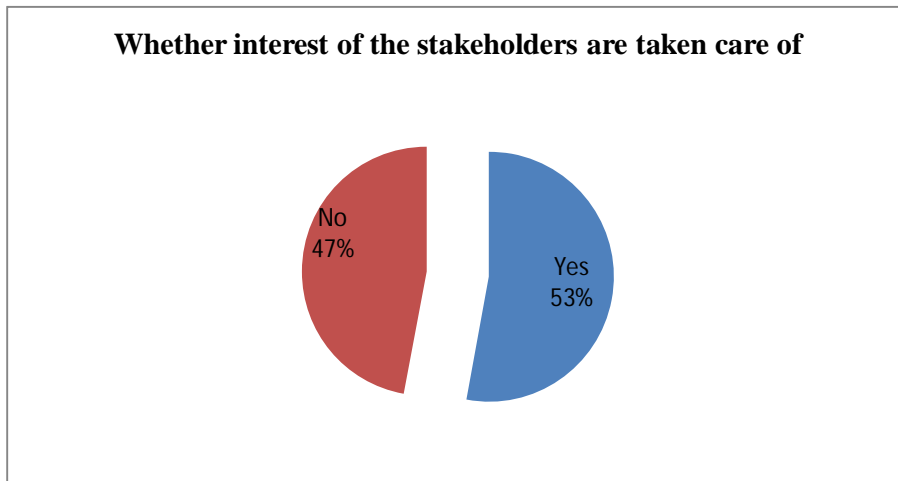
These findings are in agreement with the observation of Leah Muraguri (2011) who observed that SEC is the main driver of slum upgrading programme because the government wants the people to know what it is deciding based on the community interest.

#### **4.5 Strategies used by SEC in execution of its role in slum upgrading initiatives**

The third objective of this study was to identify the strategies used by SEC in execution of its role in slum upgrading initiatives within the study area. To answer this objective respondents were required to indicate whether their category of stakeholder's interest were catered for by slum upgrading projects within their settlements, the type of strategies employed by SEC within the settlement in coordinating stakeholders' interest, whether the strategies used are effective in the coordination of stakeholders' interest and how SEC addresses the diverse opinion from the settlement stakeholders in decision making.

The findings from the study on whether the interest of stakeholders within settlement were catered for in slum upgrading projects show that majority of respondents (53%) were in agreement that the their interest are catered for in slum upgrading projects and only 47% disagreed as shown in figure 4.5

**Figure 4.5: whether stakeholders' interests are taken care of in upgrading projects**



On how frequent the following strategies were employed by SEC, the results of the study are shown in table 4.4 below

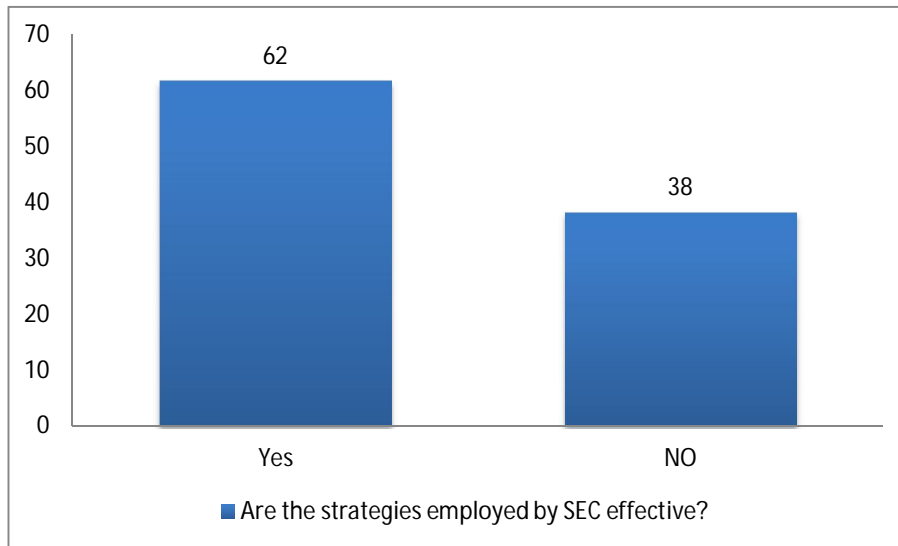
**Table 4.4: Strategies used by SEC**

<b>Strategies used by SEC</b>	<b>Mean</b>	<b>Std. Deviation</b>
Community Sensitization	3.94	1.229
Community Participation	3.94	1.099
Stakeholder Consultation	2.15	1.282
Engagement of Politicians	2.44	1.375
Seeking direction from the programme/project	4.18	1.058
Other	.00	.000

The findings of the study from table 4.4 show that SEC sought direction from the programme/project more frequently as shown by a weighted mean of 4.18. Community sensitization and participation as strategies are employed more frequently with an average of mean of 3.94, engagement of politicians and consultation of stakeholders are less frequently used by SEC in execution of its duty.

On the effectiveness of the strategies employed by SEC in the execution of its duty; majority of interviewees (62%) indicated that the strategies employed are effective while 38% held that they are not, as shown in figure 4.6 below

**Figure 4.6: whether strategies employed by SEC are effective.**



Finally the respondents were supposed to indicate how SEC addresses divergent settlement stakeholders' opinion. In the content analysis it emerged out that the interests of the project and that of the community override other stakeholders' interest in slum upgrading projects. However, consultations and negotiations are the most commonly used strategies in managing the diverse opinion from the stakeholders.

#### **4.6 The challenges faced by SEC in execution of its role in slum upgrading programme**

The fourth objective of the study was to examine the challenges facing SEC in execution of its role in slum upgrading. In answering the research questions the respondents were asked to indicate the extent to which stated challenges had been experienced by SEC and also to explain how those challenges had been addressed. The findings of the study are shown in table 4. 4: below.

**Table 4.5 Extent to which challenges had been faced by SEC**

<b>Challenges faced by SEC</b>	<b>Mean</b>	<b>Std. Deviation</b>
Inadequate facilitation	4.59	1.104
Lack of incentives	4.44	.960
Unrealistic expectations	3.03	1.678
Non-commitment by members	2.18	1.218
Political interference	4.18	1.058
Confusion on KENSUP and KISIP	2.79	1.610
Diverse stakeholders interest	4.06	1.301
Other	.00	.000

From the table 4.5 majority of the respondents indicated that inadequate facilitation was experienced to most extent with a mean of 4.59; lack of incentives and diverse stakeholders' interest was experienced to a greater extent with weighted means of 4.44 and 4.06 respectively. On the other hand, unrealistic expectations and confusion between KENSUP and KISIP were the challenges SEC faced to a moderate extent with averages of 3.03 and 2.79 correspondingly. Lastly, respondents indicated that non-commitment of SEC members was experienced to a less extent with a weighted mean of 2.18.

Respondents were also required to explain how the challenges that face SEC were addressed. From the content analysis the emerging theme was that, whenever there is a challenge; consultations is done to iron out the differences by bearing in mind that the agreement should conform with the community interest, that is, the community interest override any other interest in any consultation and as a last resort a legal process is opted to. On the general challenges that are facing the slum upgrading projects the results indicated that there is lack of trust from the project beneficiaries on success of upgrading projects; lack of adequate compensation to affected stakeholders by slum upgrading projects, disregarding SEC views on slum upgrading projects by the government and inadequate information flow about slum upgrading projects from the government to projects beneficiaries.

## **CHAPTER FIVE**

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

#### **5.1 Introduction**

Having formulated the research objectives, conducted the literature review, designed the research methodology, presented and discussed the findings, this final chapter concludes the circular research process through a summary of the results, conclusions and recommendations of the research process in the context of the research objectives.

#### **5.2 Summary of the Findings**

The first objective of the study was to find out the ideal representation of SEC membership of each category of stakeholder within the study area. To achieve this objective, the following question was thus raised; what is the ideal representation of SEC membership of each category of stakeholder within the study area? The findings of the study indicated that SEC is not correctly constituted because of overrepresentation of some stakeholders such as: landlords and tenants on one hand; and, omission of women and housing cooperatives on the other hand. Further, these findings have shown that the ideal number of committee members for sustainable and successful slum upgrading projects is 12 -15 people with each stakeholder having one representation.

The second objective of the study was to examine the role of SEC in slum upgrading initiatives within the study area. To meet this objective, the research question particular to this objective was; is the role of SEC in slum upgrading within the study area critical? The findings from the study indicated that SEC is an important institutional setup within slum upgrading programmes. Right from the project inception to replication phase SEC plays a critical role of coordination of settlement stakeholders' interest in slum upgrading process. Furthermore, the findings from the study indicate that SEC is central to information flow; it's



the role of SEC to disseminate project information to the beneficiaries and other settlement stakeholders and provides a feedback to programme secretariat on the community interest on the upgrading projects.

The third objective of this study was to identify the strategies used by SEC in execution of its role in slum upgrading initiatives within the study area. To answer this objective, the question raised in regard to the objective was; are the strategies employed by SEC in the execution of its role in slum upgrading initiatives in within the study area effective? The findings from the study showed that SEC often sought direction from the programme/project secretariat and other implementing agencies. Besides, other strategies employed by SEC include: community sensitization and participation; and, engagement of politicians and stakeholder consultation. Nevertheless, the respondents indicated that the strategies employed by SEC were effective. The results showed that incase of divergence of opinion of different stakeholders within SEC; SEC preferred consultations making sure that the interest of the community override individual interest.

The fourth objective of the study was to examine the challenges facing the SEC in the execution of its role in slum upgrading. In answering the research questions the following research question was posed; are the challenges faced by SEC in execution of its role in slum upgrading initiatives within the study area manageable? The findings of the study have shown that there are a number of challenges that SEC is facing in the execution of its role in slum upgrading programme; key among them is inadequate facilitation. That is, the results show that SEC has no offices and other office equipment. This has hindered SEC from effectively executing its role. Secondly, SEC membership is voluntarily and at such there is no salary or any other incentive and yet SEC members are supposed to dedicate time to programme activities.

## **5.2 Conclusions**

The following conclusions are drawn from this research: Firstly, SEC just like any other institution setup is faced with a myriad challenges key among them inadequate facilitation. Some of the challenges emanate from its: constitution, facilitation and the type task they undertake as evidenced by the study findings. Nonetheless, it's worth noting that SEC is a crucial institution setup under slum upgrading programmes in Kenya. Indeed to manage these challenges; SEC ought to be always democratically constituted and the ideal size should be 12-15 members.

Secondly, SEC plays a very critical role in slum upgrading projects. Through SEC the programme is able to carry out capacity building of the communities in preparing them for project implementation; Therefore, SEC should be a representative of all settlement stakeholders so as to create an element of inclusivity. Representation from categories such as women and Housing Cooperatives would be a good practice.

Thirdly, it has been seen that SEC employs consultations in the execution of its role. Thus, SEC is a good avenue of prioritizing the type of projects that addresses the need of the community and if the government follows this approach then, this will mitigate against instances where the unwanted projects are implemented in slum areas and eventually leading to lack of ownership from the communities and this because waste of taxpayers' money which tend to have high opportunity cost in developing countries when wasted.

Lastly, it can be noted that SEC as an institutional setup under slum upgrading has not been replicated in all slums under slum upgrading projects as the practice is supposed to be. The government ought to ensure that SEC has been constituted in all those areas for sustainable and successful slum upgrading projects. Presence of SEC in slums undergoing upgrading is one way of ensuring community project ownership and minimizing conflicts resulting from

diverse vested interest from settlement stakeholders. Moreover, timely project completion is of essence because it's a way of ensuring value for tax payers' money, successful and sustainable slum upgrading projects.

### **5.3 Recommendations**

The following recommendations pertinent for policy making, practice and future research are made from this research.

#### **5.3.1 Recommendations for Policy and Practice**

What this research aimed at was to find out the challenges faced by SEC in execution of its role in slum upgrading in Kenya. In order to do this, it was necessary to investigate and understand: the ideal representation and size of SEC, its role in slum upgrading programme/projects, the strategies employed by SEC and the challenges encountered by SEC in the execution of its role and what practical recommendations should be made towards solving these challenges. From the findings of this study the following are the policy implications:

Firstly, there is need for the government to facilitate SEC in terms of acquisition of office and other office related equipment for effective execution of their role. This entails capacity building of SEC members via incentives such as trainings, exchange visits and monthly allowances so as to increase their commitment.

Secondly, the government should mainstream slum upgrading and prevention initiatives. Right now slum upgrading initiatives are fragmented and their impact rarely felt within slums and informal settlements. For instance within the country some initiatives are under KENSUP, KISIP, WASP and County Government (formerly Municipal/County/Town Councils). The mainstreaming of slum upgrading will reduce confusion among SEC the

community on slum upgrading programmes and projects within their settlements on one hand and on the other hand the impact of slum upgrading programmes and projects will be felt on the ground by avoiding duplication of fragmented slum upgrading projects in slums.

Thirdly, the government should move with haste to create enabling environment for slum upgrading programmes/projects through policy, reform and government initiatives: This includes the finalization of national slum upgrading and prevention policy that will provide institutional and legal frameworks for slum upgrading initiatives. This will make the role of SEC more relevant.

Fourthly, the guidelines on SEC formation are not specific on the types of categories of stakeholders and its membership. Therefore, the government should develop a policy or guidelines on the formation of SEC. the policy/guidelines should specify the types of categories of stakeholders and their membership in the committees to avoid the abuse of the process.

### **5.3.2 Suggestions for Further Research**

The following are further area of study:

1. Sustainability of Settlement executive committees under slum upgrading programme.
2. Suitability of using settlements networks of which the stakeholders belong to coordinating slum upgrading projects.

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## APPENDICES

### Appendix I: Questionnaire

Dear Sir/ Madam,

I am Daniel Nyaigo, a post graduate diploma in housing administration student at University of Nairobi carrying out a research on the subject of ‘an investigation of the challenges facing settlement executive committees under slum upgrading programme. A case study of: Munyaka, Kamukunji and Huruma slums of Eldoret municipality, Uasin Gishu County, Kenya’. All information, which you will provide, will be kept strictly confidential and used for academic purposes only.

#### A. General Information

*The following questions are purely for analytical purposes only. They will not be used to try and identify any individual. Please tick where appropriate*

1. Tick your gender.

Male

Female

2. Tick your age

below 21yrs

22-35 yrs

36-50 yrs

above 51 yrs

3. Tick your Settlement

Munyaka

Kamukunji

Huruma

4. Tick the type of upgrading projects which under implementation in your settlement?

Access road

Schools

water supply

Market stalls

Flood lighting

Drainage

Formation of Housing cooperative

other (Specify).....

5. What upgrading projects are under implementation in your settlement?

KENSUP

KISIP

Both

#### B: Composition of SEC



6. Indicate the number of representative of the following stakeholders as represented in SEC of your settlement?

Stakeholder	Number of representation in SEC i.e. 1, 2 etc.	
	Male	Female
Landlords		
Tenants		
Faith Based Organizations		
Community Based organizations		
Non- governmental Organizations		
Youth		
Widow/Widower		
Marginalized group		
Physically Challenged		
Other (please specify)		

7. Does SEC a representative your settlement stakeholders?

Yes  No

8. If no in 7 above, which stakeholder(s) is not represented in SEC?

- i. ....
- ii. ....
- iii. ....
- iv. ....

9. Tick the right constitution of SEC for effective execution of its role? (Findings should indicate recommend the right size of SEC for effective execution of its role. Is there overrepresentation of SEC or underrepresentation? )

- 8-11    
 12-15    
 16-19    
 20-23

10. Based on your reply in 9 above, indicate how the representation should be in the table below.

<b>Stakeholder</b>	<b>Number of representation in SEC i.e. 1, 2 etc.</b>
Landlords	
Tenants	
Faith Based Organizations	
Community Based organizations	
Non- governmental Organizations	
Youth	
Widow/Widower	
Marginalized group	
Physically Challenged	
Other (please specify)	

11. What challenges do you encounter as a result current representation of SEC?

- i. ....
- ii. ....
- iii. ....
- iv. ....

**The role of SEC during various phases of project execution**

12. What is the role of SEC in upgrading Projects during inception phase

- i. ....
- ii. ....
- iii. ....

13. What is the role of SEC in upgrading Projects during execution phase

- i. ....
- ii. ....
- iii. ....

14. What is the role of SEC in upgrading Projects during monitoring and evaluation phase

- i. ....
- ii. ....
- iii. ....

15. What is the role of SEC in upgrading Projects during replication phase

- i. ....
- ii. ....
- iii. ....

16. Is the role of SEC in various project phases critical in the success of Upgrading projects?

- Yes  No

**B. Strategies employed by SEC in the coordination of stakeholders' interest**

17. Are the interests of your group taken care of by upgrading projects within your settlement?

- Yes  No

18. What strategies are employed by SEC within your settlement in the coordination of stakeholders' interest?

- Community sensitization                                  Community participation
- Lobbying     Other (please specify).....

19. Are the strategies employed by SEC effective in the coordination of stakeholders' interest?

- Yes     No

20. How does SEC address diverse opinion from the settlement stakeholders in decision making?

- i. ....
- ii. ....
- iii. ....

**C. Challenges facing SEC in the coordination of stakeholders' interest**

21. What are challenges facing SEC in the execution of its role within your settlement?

- Lack of training         Lack of incentives                   Less committed members
- Unrealistic expectations     Political interference
- Confusion between KENSUP and KISIP                   Diverse stakeholders' interest
- Other (please specify).....

22. How have the challenges identified above dealt been with by SEC?

- i. ....
- ii. ....
- iii. ....

23. Any challenges facing slum upgrading programme/project?

.....

.....

**Sincere thanks for filling the questionnaire**