



**AN INVESTIGATION INTO THE CHALLENGES FACING IMPLEMENTATION OF  
SLUM UPGRADING PROGRAMMES IN KENYA: A CASE STUDY OF MANYATTA,  
KISUMU COUNTY.**

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### **DECLARATION**

I hereby declare that this research project is my original work and has not been presented for a degree in any other university.

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

Signature\_\_\_\_\_ Date\_\_\_\_\_

**DR.WINNIE MWANGI**

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## **DEDICATION**

This project is a dedication to Jane Wambui for your support and encouragement throughout the period. I also dedicate it to my child Sarah Mwangi.

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## **ABSTRACT**

The proliferation of slums has become evident in developing countries as the rate of urbanization increase. This is coupled by the rapid population growth in these countries. However their economies are not growing in tandem with the rise in population. It has become increasingly glaring that most of the urban population live in dehumanizing conditions.

Despite the progress made on slum improvement, this has not been enough to counter the growth of the slums as the absolute number of slums residents has continuously increased despite the upgrading efforts. It is in this context, that this study seeks to establish the challenges facing implementation of slum upgrading programmes in Manyatta Kisumu. The specific objectives of this study were: To find how existing policy on slum affect implementation of the programmes in Manyatta Kisumu County; to establish and rank the critical factors that affect the implementation of slum upgrading programmes; to determine the level of influence of the most ranked factor on implementation of the programme in Manyatta and to recommend ways through which the identified challenges may be addressed.

Purposive sampling and Stratified random sampling techniques were used in the case of department of slum upgrading in the Ministry of Land, Housing and Urban development and Manyatta residents whose sample sizes were 15 and 382 respectively. The study also employed case study design where the data was analyzed descriptively and presented in tables, figures graphs and pie charts.

The study found that, implementation of Manyatta slum upgrading programme faces several challenges that include:- Diverse interests from various groups, various levels of power and influence-absentee landlord, low or poor budgetary allocations, residents not being aware of an

existing slum policy, lack of an institutional framework to guide the slum upgrading process, lack of participation from slum dwellers, politicization of the slum upgrading issues, lack of adequate land and security of tenure, lack of good will and trust from the slum dweller , environmental degradation, lack of adequate public consultation and poor quality of workmanship.

It is in view of these challenges, that the study recommended that participatory approach should be used in implementing the programme; the increased budgetary allocations should focus more on house development and employment and education should be an integral part of the upgrading programme as a base to promote their dignity and freedom so as to capture good will and trust from slum dwellers.

## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.0 Background of the study**

The inclusion of the right to housing in the Universal Declaration of Human Rights illustrates the significance of access to adequate housing for all human beings. Access to adequate housing also constitutes the priority of the United Nations Millennium Declaration agenda 7, target 11 which aims to improve the lives of at least 100 million slum dwellers by the year 2020 ([www.un.org/millenniumgoals](http://www.un.org/millenniumgoals)). Slums are lowest-standard settlements which enable millions of poor people around the world meet their basic needs. They exist below the international social standards of adequate living. The security in the slums is a nightmare, overcrowding is extreme, the sanitation is awful and diseases are rampant. Life of the slum dwellers is made even worse by poor governance, corruption, stigma and social segregation.

In the early 1960s – the period in which most African nations gained independence – the continent's urban population stood at approximately 31 million people. By the year 2000, the number of urban dwellers had swollen to 210 million with an estimated 533 million Africans expected to live in cities by 2025. In Kenya, the urbanization growth rates for the 1950s and 1960s was lower (6.9%), but it accelerated to 8% in the 1970s, a rate sustained throughout the next decade (United Nations Population Division, 2002). By 1999, the proportion of the urban population in Kenya had increased to 34.5%, affirming that one out of every three Kenyans currently lives in urban areas (Republic of Kenya, 1999). This percentage of urban dwellers is expected to increase to 50% by the year 2015.

UN-habitat (2008) noted that between 1990 to 2005 urban dwellers living in slums decreased from 47% to 37% in developing countries; however the global situation is different from the

Kenyan experience where the slums continue to grow as more people move to urban areas in search for jobs. The result of unequal urban growth in various countries today has given rise to various challenges that each nation has to face. These challenges include grinding poverty, environmental degradation, income inequalities, historical socioeconomic inequalities, marginalization and various forms of exclusion. These challenges have contributed immensely to the proliferation of slums.

Slum formation in Kisumu has been associated with the rapid growth of urban population caused by migrating circumstances that do not favour rapid rates of absorption and acculturation. Rural immigrants move into these areas rather than the older council housing because opportunities for rental housing are often unavailable. As the third largest urban center in Kenya with an area of 417 sq. km (157 sq. km. of water and 260 sq. km. of land) and a population estimated at 500,000, Kisumu has grown from humble beginnings as a railway terminus in 1898. About 60% of the populations live in poverty with the bulk working in the informal sector with monthly incomes ranging from KSh 3,000 to Ksh 4,000. However, according to the UN-Habitat (2008) the progress made on slum improvement has not been enough to counter the growth of the slum. In this sense, the report says, efforts to reduce the number of slum dwellers or improve their living standards are not adequate or satisfactory. The absolute number of slums residents has continuously increased despite the upgrading efforts as the land prices continue to rise in Manyatta “A” in Kisumu. The poorer population finds itself marginalized and is forced to move to the unimproved, so-called “Manyatta B”.

According to Muraguri (2012) the Government of Kenya, in collaboration with other stakeholders initiated two programmes: the Kenya Slum Upgrading Programme (KENSUP) in 2004 and the Kenya Informal Settlement Improvement Project (KISIP) in June 2011. The

programmes are aimed at improving the livelihoods of people living and working in slums and informal settlements. This entails promoting, facilitating, and where necessary, providing security of tenure, housing improvement, income generation and physical and social infrastructure. The actual target is to improve the livelihoods of at least 1.6 million households living in slums (5.3 million slum dwellers) by the year 2020, (Republic of Kenya, 2006). However, many slums upgrading programmes have not been able to realize all the international rights to housing. This scenario has posed a great challenge to the campaign of accessing adequate housing to millions of impoverished slum dwellers. This challenge forms the basis of this research.

### **1.1 Problem Statement**

It is estimated that one-fifth of the world's population does not have adequate shelter whatsoever, while more than a million people, mainly children, die daily because of lack of adequate housing, and majority of these are found in the developing world. Many professionals have been trying to make uniform criteria for adequate housing throughout the world including legal security of tenure, availability of services and infrastructure, affordability, habitability, accessibility, location and cultural adequacy (UN Habitat, 1996).

There has been a rapid growth of cities and urban areas all over the world; this has been accompanied by a rapid growth in the number of urban inhabitants who live in sub-standard and overcrowded conditions. The figures from developing countries show that town dwellers represent an average of thirty to sixty per cent of the urban population. It is estimated that over fifty per cent of the urban population live in extreme poverty, with this figure rising to as high as 79 per cent in some cities. Half of the current urban population is of low-income, and over one billion urban dwellers have been counted among the urban poor (Moser & Satterthwaite, 1985).

The government of Kenya views the problem of housing in the light of its basic belief that “well planned housing and reasonable standards, when combined with essential services, affords dignity, a sense of security and proper status in society for the individual (Republic of Kenya, 1990). However over eight million Kenyans live in shelters unfit for human habitation or live in badly constructed houses and structures that serve as shelter.

The housing situation in Kisumu is not different from that of other urban centres in Kenya. The demand for residential housing has grown faster than the supply leading to increased prices of land and house-rent and to over-crowded housing. Rapid industrialization and population growth has resulted in the development of informal, semi-permanent structures being occupied by the low-income groups as houses being characterised by poor sanitation as well. According to UN Habitat (2004), about 60% of the urban population in Kisumu lives in the peri urban and informal settlements which are unplanned, with high-density and lack basic services. There is high congestion with 150 rooming/housing units per hectare in Kisumu’s informal settlements. About 75% of the inhabitants live in temporary and semi-permanent structures.

According to the UN-Habitat (2008), the progress made on slum improvement had not been enough to counter the growth of slums. The report highlighted that the efforts to reduce the number of slum dwellers or improve their living standards had not been adequate.

This study looks at challenges facing implementation of slum upgrading programmes in Kenya a case study of Manyatta and recommend ways through which the challenges can be addressed.

## **1.2 Objectives of the study**

The main objective of the study is to investigate challenges facing the implementation of slum upgrading programme in Manyatta, Kisumu County.

### **1.2.1 Specific objectives**

- i. To find out how existing policy on slum upgrading affects implementation of the programmes in Manyatta Kisumu County
- ii. To establish and rank the critical factors that affect the implementation of slum upgrading programmes.
- iii. To determine the level of influence of the most ranked factor on implementation of the programme in Manyatta
- iv. To recommend ways through which the identified challenges may be addressed

### **1.2.2 Research Questions**

- i. How does existing policy on slum affect implementation of the programmes in Manyatta Kisumu County?
- ii. What are the critical factors that affect the implementation of slum upgrading programmes?
- iii. What is the level of influence of the most ranked factor on implementation of the programme in Manyatta?
- iv. What are the recommendations through which the identified challenges may be addressed?

### **1.3 Significance of the study**

The slums and informal settlements provide shelter to majority of urban dwellers in Kenya and are indeed a major urban phenomenon in all urban centers, addressing the challenges of slum upgrading for urban informal settlements will contribute towards improving the livelihoods of the slum dwellers. The failure of slum upgrading programmes would mean continued suffering

of the vulnerable groups in the slums. The study identifies the causes of these challenges and proposes appropriate recommendations which will help the programme to achieve its objectives. The study has also given possible solutions and recommendations to help to fill the gaps and identify loop holes that might have been overlooked by various stakeholders of the upgrading programme in their approaches and interventions. For purposes of further research, this study has provided a baseline to the investigation of other challenges in the implementation of the slum upgrading programme.

#### **1.4 Scope of the study**

The study is based in Manyatta area which is an informal settlement divided into sections A and B. It is the largest and most populated of all informal settlements in Kisumu and is located on the North Eastern fringes of the Central Business District. This settlement contains low income earners with inadequate housing facilities and hence slums. The study focuses on the challenges in implementation of slum upgrading programs in Manyatta, Kisumu County.

#### **1.5 Organization of the study**

The following constitutes the flow and the structure of this research work Chapter one contains background of the study; the problem statement; objectives of the study; research questions; significance of the study; scope of the study. Chapter two encompasses the state of the current literature. This will constitute an analysis of literature on history of slums in kenya, slums upgrading, rights to housing, institutional arrangements for slum upgrading, literature review on challenges of slum upgrading, theoretical framework, and conceptual framework. Chapter three comprises the methodology used in this research. It describes the target population and the scope of the study; sampling strategies; data collection methods; data collection instruments; data



collection procedure and data editing. Chapter four embraces the research findings. In this part the researcher will present the data collected from the research using various data presentation methods and provide analysis and interpretation. Chapter five uses these interpretations to draw informed conclusions on this research. This section will end with recommendations and conclusions meant to bridge the gaps identified through the research findings. These recommendations are hoped to form a fertile reference not only for Manyatta slum but also for other slum upgrading initiatives in Kenya and elsewhere in the world. This section will also present field challenges and areas that need further research.

## **1.6 Definitions of Key Terms**

**Slum-** There is no universally agreed definition of slum. According to United Nations Expert Group Meeting held in October 2002 in Nairobi, Kenya recommended an operational definition of a slum to include characteristics such as: ‘inadequate access to safe water; inadequate access to sanitation and other infrastructure; poor structural quality of housing; overcrowding; insecure residential status’ (UN-HABITAT, 2003)

UNCHS (2002) defined a slum as “a term used to describe a wide range of low-income settlements and/or poor human living conditions”. The definition also encompasses housing areas that were once respectable or even desirable, but which have since deteriorated, as the original owners have moved to new or better areas of the cities. The term slum, has, however come to include also the vast informal settlements that are quickly becoming the most visual expression of urban poverty.

This research will use slum as it include informal settlements.

**Upgrading-** The word upgrading usually refers to an effort to improve living conditions in particular urban areas characterized by poor-quality housing and inadequate infrastructure and service delivery (Ndukui, 2012).

**Slum Upgrading** Slum upgrading is a process of intervention for economic, organizational and environmental improvement to an existing human settlement undertaken collectively among citizens, community groups, governments (national/local) and any other development partners (Non-governmental, multi-lateral/bilateral organisations). Although the reasons for slum upgrading may vary from place to place, the main push factors have included the demand for affordable tenure options, environmental health considerations and poverty reduction (Syagga, 2011).

**Informal settlements-**“As settlements where inhabitants are confronted and exposed to insecure residential status; inadequate access to safe water; inadequate access to sanitation and other basic infrastructure and services; poor structural quality of housing and overcrowding” (UN-HABITAT, 2003). .

**Stakeholders:-**Persons, groups or institutions with interests in project or programme (McElroy & Mills, 2000).

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.0 Characteristics of Slums**

The concept of slums and its definition vary from country to country and depend on the socio economic conditions of society the society in question. The term ‘slum’, since its first appearance in the 1820s, has widely been used to refer to areas that have poor quality housing, unsanitary conditions and act as refuge for criminals and drug abuse besides being a likely source for many of epidemics that ravage urban areas. According to Cities Alliance Action Plan (1999), slums are neglected parts of urban towns where the state of the housing conditions and living conditions are appallingly poor. They are considered to range from high-density, squalid central city tenements to spontaneous squatter settlements that do not have any legal recognition or rights and are seen to sprawl at the edge of urban centers.

This study adopts the proposed definition of slums by the United Nations Expert Group Meeting held in October 2002 in Nairobi, Kenya which defined a slum to include characteristics such as: ‘inadequate access to safe water; inadequate access to sanitation and other infrastructure; poor structural quality of housing; overcrowding; insecure residential status’ (UN-Habitat, 2003). Lack of basic services is one of the most frequently mentioned characteristics of slums with lack of access to sanitation facilities and safe water sources being the most important features. Slums are coupled with a high absence of waste collection systems, lack of electricity supply, unsurfaced roads and footpaths, poor street lighting and poor drainage facilities. This lack of basic services manifests themselves in the form of open sewers, uncontrolled dumping of waste and polluted environments among others.

UN-Habitat (2003) associate slums with a high number of substandard housing structures, often built with non-permanent materials which are unsuitable for construction of houses e.g. earthen floors, mud-and-wattle walls or straw roofs. Slums are considered to be overcrowded with five and more persons living in a one-room unit that acts as the cooking, sleeping and living area. Apart from the housing structures being made of sub-standard materials, the layout of the slum settlement is at times hazardous because of a lack of access ways and high densities of dilapidated structures.

According to Davis (2004), lack of security of tenure is a central characteristic of slums and regards it as *prima facie* evidence of illegality and slum occupation. Informal or unplanned settlements are often regarded as synonymous with slums with dwellers being considered as among the most disadvantaged. Slum dwellers are considered to rate far lower on human development indicators than other urban residents and have more health problems, less access to education, social services and employment with most of them having very low incomes.

Slums are characterized by lack of key government institutions and other key private and commercial systems with most banks not having branches in the slum and most slum dwellers are not able to access regular sources of finance to develop their own businesses. The few banks that have branches within the slums are faced with the challenge of offering loans to slum dwellers that lack legally registered collateral thus excluding all but the most well-off slum dwellers from obtaining loans. Slum entrepreneurs are forced to draw on informal sources of finance at exorbitant rates and very short repayment periods

Kenya is currently faced with rapid deterioration of living conditions in human settlements in the urban areas, a situation that has been worsened by, high population growth rates, widespread

poverty and escalating costs of housing provision. There is a huge shortfall in housing supply with need estimated at 50,000 units per year while production stands at about 30,000 units annually. The acute shortage of urban housing and the problem of inadequate shelter have manifested themselves in the rapid formation and growth of informal settlements and tenement structures matched by deficiencies in the supply of the most basic infrastructure and public facilities required for human habitation. Most urban areas of Kenya are divided between comparatively well-off suburbs and the disadvantaged poor living in slums and informal settlements. It is estimated that more than half of Kenya's urban population now live in slums and informal settlements, implying that over five million urban residents live in slums and informal settlements with deficient housing and infrastructure (UN-Habitat, 2007).



Plate 2.1: Housing situation in Manyatta

Source: UN Habitat (2005)

Plate2.2: Drainage system in Manyatta slums

Source: UN habitat (2005)

## **2.1 Slum upgrading**

Slum upgrading involves improving access of slum communities to basic physical and social infrastructure, economic opportunities, tenure rights, information and institutions, focusing on the poor. Slum improvement is achieved with the active involvement of slum communities during the planning, implementation, monitoring and management process, and through contribution of part of their own resources required for development, operation and maintenance (Ndukui, 2012). The upgrading should cause minimal displacement and it involves securing land tenure, rehabilitation of existing housing structures, development of housing where necessary, planning and provision of social and physical infrastructure, and improving livelihoods through income generating activities (Republic of Kenya, 2005).

According to United Nations Economics and Social Commission for Asia and the Pacific, Shelter for All, (UNESCAP, 2000), slum upgrading can play an important role in improving existing housing stock and ensuring that complete reliance is not placed upon new investment in low-income housing. Upgrading can also improve tenure security and provide alternatives to evictions. However, slum-upgrading projects are by no means easy to organise, resource, implement or replicate, particularly not in a context of poverty and underdevelopment. UNESCAP (2000), emphasizes that to be successful, slum upgrading projects require careful design and management. In particular, local conditions need to be considered plus housing affordability and project finance must be sustainable in the long-term; consultation and direct community involvement are vital; and residents must be effectively protected from evictions and violence. According to the Centre for Housing Rights and Eviction (COHRE, 2005), slum upgrading also requires huge resources, plus long-term political will and stamina to see the process through in spite of the setbacks, dissatisfaction and conflicts that will, inevitably, occur along the way. In this daunting context, it is to the immense credit of the Government and its development partners that slum upgrading features prominently in Kenya's recent housing policy

## **2.2 Components of slum upgrading**

According to Acioly (2007) slum upgrading do require political will and firm commitment of local governments that can sustain long-term programming and implementation. In operational terms, it requires the establishment of an institutional and organizational setting through which: The participation of the target groups can be facilitated; the partnerships between public, private and community stakeholders can be realized; financial resources can be mobilized and allocated on a sustained basis; local implementation capacities can be strengthened and the coordination, planning and management of programs and projects can be organized.

Provision of basic infrastructure, such as water and sanitation, are key components of slum upgrading. The reduction of the cost of infrastructure through integrated housing and infrastructure development can make housing more affordable for the poor. The basic infrastructure interventions would constitute three phases. The first phase undertakes physical infrastructure improvements within the selected project area, linked to income generation. At the same time, pro-poor governance can be developed, which gives a positive impact by building confidence within the participating communities. The second phase can focus on refining the governance structures developed and stimulating investment from all sources. The third phase can focus on full-scale replication and scaling up in the selected communities.

According to UN-Habitat (2008) land ownership is an issue that bedevils the urban poor. Secure land tenure is a key element for the integration of the urban poor, as is their recognition by the public authorities. Security of tenure encourages families to invest into upgrading their plots and diversify their use. These can give them protection against possible evictions and provide them with an asset that may serve as a guarantee in certain markets (e.g. for the purpose of acquiring bank loans. The over 30 statutory land acts addressing land issues need to be simplified if slum dwellers are to gain more secure rights to land.

To achieve sustainable urbanization, training community members in practices, such as construction, water supply, sanitation and solid waste lies at the core of slum upgrading. The training will enable them to manufacture cheap building materials, build houses and participate through mutual aid in the construction of services and infrastructure. Community members can also be assisted in drafting business development plans towards setting up small-scale enterprises. The ultimate aim of the training is to empower community members to start up income generation activities hence improve their livelihoods or invest in improved housing, which is an essential part of the holistic approach to slum upgrading. In addition cooperatives allows slum dwellers to access housing finance that is usually beyond their reach as conventional housing finance mechanisms do not favour the urban poor as they do not allow for incremental, self-help housing solutions (UN Habitat 2008).

### **2.3 Challenges in implementing Slum Upgrading**

The literature in this first section may not specifically touch on the challenges of slum upgrading programmes or related solutions but it reveals various underlying factors that may influence such challenges. It is also important to note that slums upgrading is not an independent process but involves various interrelated factors on slums livelihoods. This justifies the scrutiny of a wide variety of literature to address such interrelated factors. Sjoberg (1960) conceives slums as an inseparable part of the urban economy and a product of urban stratification. Similarly, Meier (2000) notes that slums fulfills important political, social, and economic functions in the city.

#### **2.3.1 Social segregation**

Beall (2002) attributes social disparity to foreign policies which have encouraged global investment and destroyed the local economy. Similar sentiments are given by Mumford (1961) who describes slums as a manifestation of capitalism. He attributes slum poverty and vulnerability to exploitation and inequalities perpetuated by the profit oriented new markets.



Zamberia (1999) asserts that the marginalization of slum dwellers in governance circles worsens their leverage. The solution according to the World Bank is social inclusion of the marginalized to promote their bargaining power.

Sherman (1998) relates crime in the slum as a reaction to social-economic marginalization. Similarly an urban research in Kenya by Amis and Rekodi (1995) holds that crime is more prevalent among the poor than the rich. While the rich live behind the gated compounds, the slum dwellers are exposed to all types of crimes. These literatures shows that slum upgrading have a great task in addressing the challenge of social segregation. Effective slum upgrading activities must comprise social inclusion agendas and related policies to bridge the gap between the haves and the have nots.

Through participatory processes, planners expected that different perspectives on settlement upgrading and needs for shelter would emerge, but this has been shown not to necessarily be the case (Beall, 1996). Structural approaches have also been tried. Commonly, projects have demanded that a certain number of seats are reserved for women on residents committees; they have also attempted to hire female staff particularly for community mobilization in order to obtain women's opinions and motivate women to participate (Schlyter 1998).

A final experience is that resettlement is difficult because it disrupts established social networks. Informal settlements are diverse places, but people often tend to settle with those they know, such as people from their own ethnic groups. Moving diverse groups and settling them next to each other can lead to social conflict (Gulyan et al, 2002). Cuervo and Hin (1998) observe that slum dwellers are characterized by inadequate economic resources, factors that endear them to the informal labour market. This informality, as UNCHS Habitat (2001) asserts, perpetuates the exploitation of the poor. Briggs (1998) describes slums as basic springing boards for the poor. Following this literature, it can be concluded that effective slum upgrading programme should

ensure support for informal enterprises and mitigate factors that lead to the exploitation of the slum poor to facilitate appropriate intervention.

Discrimination, especially along ethnic lines exists within slums, with most ethnic groups conglomerating in particular areas/sections of slums. In most cases, the names given to such areas indicate the dominance of the original communities' ethnic background. At the same time tenants prefer to rent rooms where the structure owners come from their ethnic background. In a few cases, clashes between ethnic groups have been experienced. The growth of settlements along ethnic lines is also influenced by the place a migrant settles first. This is usually in a relative's, clan members/rural neighbour's urban residence. Thus, most urban Slums have one or a few dominant ethnic groups, often that of the original settlers (UNCHS 2001)

### **2.3.2 Security of tenure**

Many slum upgrading programmes are mainly focused on housing improvements at the expense of other slum livelihoods. This is a challenge that requires urgent address to institute comprehensive slum upgrading interventions. Gong and van Soest (2002) observes that apart from house improvement, slum upgrading should also prioritize the socio-economic improvement of the poor. Leckie (1995) noted that slum upgrading should integrate behavioral aspects of slum dwellers to enhance sustainability. Moser (1996) observes that secure tenure is vital in slum poverty alleviation. A similar observation is made by the Global Campaign for Secure Tenure ([www.unhabitat.org/tenure.htm](http://www.unhabitat.org/tenure.htm), 2009) which asserts that security of tenure is foundational in the promotion of human rights while UNCHS (Habitat, 1996) recognize home-ownership as a great opportunity towards promotion of identity and freedom. Still on the same perspective, De Soto (1989), notes that bureaucracy is the greatest impediment to acquiring security of tenure. The poor are subjected to long, expensive and exhaustive procedures before they can buy a property or register a business

According to UNCHS Habitat, (2001), effective slum upgrading requires active involvement of the target beneficiaries. Building on this assertion, the United Nations (2001) asserts that political will is essential for a successful upgrading process. Other writers describe transport as core to the livelihood of slum dwellers.

Lack of security of tenure hinders most attempts to improve shelter conditions for the urban poor, undermines long-term planning, and distorts prices for land and services. It has a direct impact on access to basic urban services and on investment at settlement level, and reinforces poverty and social exclusion. It impacts most negatively on women and children. From the point of view of governments, insecure tenure also has a negative impact on the rate of tax recovery through local taxation on property and on economic activities. In addition, without proper identification of urban services beneficiaries, cost recovery for services and infrastructures is made difficult or impossible (Lasserve, 2006)

According to Ochieng (2001) Security of land tenure is not guaranteed and could impede the improvement of the slums to be better places where slum dwellers can enjoy their rights to good housing conditions. This literature indicate that slums upgrading should go beyond house improvements and incorporate other expressed needs that are key to wholistic livelihood such as infrastructure, security of tenure and cultural aspects.

### **2.3.3 Lack of political goodwill**

Appadurai (2001) relates slums impoverishment to lack of political empowerment. In other words, slums poverty can be addressed by actively involving the slum dwellers in the decision making processes. Elmhirst (1999) relates slums improvement programmes to political survival strategies meant to manipulate the slum poor for selfish ends. On another perspective, Blong (1992) describes flooding as a slum environmental danger linked to lack of political will and

resources. He also asserts that slum fires may be started to evict slum dwellers for political reasons.

Parnell and Hart (1999) relate spatial segregation to bad governance in developing countries. Building on this assertion, the UN Habitat ([www.un-habitat.org/govern](http://www.un-habitat.org/govern)) observes that good governance should be based on the principles of sustainability; subsidiarity; equity; efficiency; transparency and accountability; civic engagement and citizenship; and security. Lack of political will as a challenge must be overcome to institute any meaningful and effective slum upgrading.

#### **2.3.4 Environmental factors**

Environmental factors impeded on the slums upgrading programme by raising the cost of the upgrading (Ochieng, 2001). Van Vliet (2000) describes dumping of waste in the slums as an immense health risk. Slums are also endangered due to the flammable building materials, illegal electricity connections and use of paraffin and charcoal for cooking in overcrowded houses ([www.innercitypress.org/icglobal](http://www.innercitypress.org/icglobal)). A study by Ruel et al (1999) shows that the income of construction workers and rickshaw drivers in Dhaka decrease during the rainy season due to flooding. It is then prevalent that effective upgrading should integrate environmental rehabilitation and sustainability as a core intervention in house improvement.

#### **2.2.5 Non state actors**

NGOs can be described as necessary evil in the social economic dynamics of the slums. Necessary because they promote the much needed social activism and evil because some are not genuine hence posing a challenge in slum improvement initiatives. Madon and Sahay (2002) asserts that NGOs sector plays a significant role in providing local technical assistance and financial support in the informal sector. According to Fisher (1998), many NGOs cannot deliver since they have been compromised by ruling regimes while non-compliance is punished by

denial of registration and heavy taxation. Fowler (1998) supports the agenda of aid de-professionalization by removing the NGOs monopoly in the service delivery and instituting a people based approach. From the forgoing, effective slum upgrading should seek to work with NGOs that are accountable, transparent and that exhibit clear objectives.

### **2.3.6 Community participation**

According to UN-HABITAT (2008), all urban actors who have a stake in slum upgrading are involved in the process. Particularly, the agency attempts to ensure that community members are involved in slum upgrading as this is considered as their basic right, as they must have a say in urban processes that shape their lives. KENSUP attempts to ensure that relevant community members are in charge of all stages of the project. KENSUP pays particular attention to those who have been previously excluded and those who lack formal representation. UN-HABITAT & KENSUP (2008), further notes that the aim of KENSUP is inclusive participation that acknowledges the diversity of actors and does not view the communities as comprised of homogenous interests. The ultimate aim of participation is empowerment, capacity building and sustainability. Rahman (2002) observes that capacity building should prioritize women who form the bulk of informal economy. He notes that mortgage repayments should be affordable. On the same note, Appadurai (2001) observes the need to promote local initiatives which address the expressed needs of slum dwellers instead of the western models. In sum, effective slum upgrading should ensure that the beneficiaries' capacities are built to enhance independence, rights awareness and sustainability of local initiatives.

Mulcahy (2001) notes that over the course of decades, slum dwellers have developed a general distrust of government, in part because of disappointment over government promised upgrading projects that never materialized. In the past, upgrading projects often displaced the original residents, leaving many skittish about future government action. Current and future

administrations must overcome this mistrust by promising only what they can implement. Facilitating a truly participatory process and carrying out residents' identified priorities will also assuage people's mistrust.

Conclusively, the above literature exhibits various challenges that could inhibit effective slums upgrading. It is then important for all slum improvement initiatives to address such challenges towards accessing adequate shelter to the poor. However this is not possible without a legal framework that guides such a process. From the foregoing, adequate housing must be treated as a right for all to facilitate protection and freedom of the slum dwellers. Slum upgrading should then be based on a participatory and stakeholders approach to holistically address the expressed need of the slum dwellers.

## **2.4 History of slums in Kenya**

There has been a multiplicity of problems that has led to the proliferation of slums in Kenya (SIDA 2006). Top on the list is lack of formalization of land tenure in Kenya. This has reduced slum dwellers to illegal squatters hence denying them a chance of long term investment. Tenure insecurity is perpetuated by lack of effective housing policy for low income earners. Social segregation of the very poor has also sustained the growth of slums. The fact that slums are regarded as illegal and temporary has led to denial of basic services such as water and exclusion from decision making processes and planning of service delivery.

The Structural Adjustment Programmes (SAPs), liberalization and privatization in the 1980s led to collapse of many local industries which constituted rural livelihood sources (SIDA, 2006). This led to mass migration to the urban areas in search for jobs. Many Kenyans settled in the slums where they could access cheap housing, transport and informal enterprises.

Politicization of development has also nurtured perpetuation of slums in Kenya. The slum has become a political resource for votes in exchange for the much needed basic needs. Lack of cheap housing commensurate to the income levels of the vulnerable groups has not been a priority of the Government. According to (SIDA 2006), the initial efforts to build low income houses for the poor benefited the middle class and the politically right people instead of the slum dwellers. In a bid to give the slums a new face, the government of Kenya and the UN Habitat jointly initiated Kenya Slum Upgrading Programme (KENSUP).

## **2.5 Institutional arrangements for slum upgrading**

Many human settlement development policies and strategies have been used in the past to deal with slums all over the world as well as in Kenya. Experience has shown that forced eviction, demolition of slums and resettlement of slum dwellers create more problems than they solve. Eradication and relocation destroys large stock of housing affordable to the urban poor, while new housing provided has frequently turned out to be unaffordable resulting to the movement of relocated households back to slum accommodation. Resettlement also shifts slum dwellers from their employment sources, destroys their productivity and disrupts their livelihood networks.

According to (UN-HABITAT, 2003), where appropriate upgrading policies have been put in place, slums have become increasingly financially cohesive, offering opportunities for security of tenure, local economic development, improvement of income and shelter among the urban poor. The accepted best practice for housing interventions in developing countries is now participatory slum upgrading, with holistic neighborhood improvement approaches taking into account health, education, housing, livelihoods and gender. Although such success stories have been few in comparison to the magnitude of slum challenges, experience accumulated over the last few decades suggest that in site slum upgrading is more effective and should be the norm in

most slum upgrading programmes and projects. The key to success in such slum upgrading Programme, however, lies in creating easy access to livelihood opportunities as the central pillar.

In Kenya, the Government has acknowledged the existence of slums and informal settlements, and is committed to addressing the conditions through upgrading. It is therefore in the interest of the Government that slum improvement has been embraced as a principle policy of housing and urban development. The country's strategic framework in the Poverty Reduction Strategy Paper, the National Housing Policy and the National Housing Development Programmes, have all recognized slum upgrading as an integral part of shelter development (Republic of Kenya , 2005). The Kenya government also initiated the Kenya Slum Upgrading Programme in 2004 and Kenya Informal Settlement Improvement Project in 2011 to improve the livelihood of people working and living in the informal settlements in the urban areas of Kenya. The Constitution of Kenya 2010 Section 43(1b) has emphasized right to accessible and adequate housing.

#### **a. The Poverty Reduction Strategy Paper, 2005**

According to the Poverty Reduction Strategy Paper (2005), implementation of slum upgrading has been identified as one of the program to address poverty by targeting the poor communities. The slum upgrading programme should improve the living conditions of millions of urban poor that live in urban slums mainly in Nairobi and Mombasa and lack access to basic water and sanitation, road, energy and housing infrastructure. The program should develop slum upgrading and relocation plans that include land adjudication and registration, expansion of water network and sanitation facilities, provision of electricity distribution points, upgrading of slum roads, and enactment of housing legislation to facilitate private sector expansion of low cost housing and housing financing.

#### **b. National Housing Policy, 2004**



According to the National Housing Policy (2004), upgrading of slum areas and informal settlements shall be given high priority. It shall be undertaken with minimal displacement to cater for proper planning and provision of necessary infrastructure and related services. Appropriate upgrading measures shall be instituted for existing slum areas taking into account key upgrading components that cover security of land tenure, provision of basic infrastructural facilities and services, improvement of housing structure and the socio-economic status of the target community.

The Government shall streamline acquisition of land for housing the poor, adopt appropriate tenure systems, planning standards to suit given slum settlements and prevent unwarranted destruction of existing housing stock and displacement of the residents. Upgrading shall be integrated to take into account socio-economic activities that improve livelihoods of target communities while employment and income-generating activities that address poverty alleviation shall be enhanced.

The Government shall also facilitate slum upgrading through integrated institutional framework that accommodates participatory approaches involving relevant stakeholders, particularly the benefiting communities while enhancing co-ordination at national level. Upgrading shall take into account factors of ownership of land and structures, age of settlement, and affordability. Appropriate compensation measures shall be instituted for displaced persons where necessary. In order to improve the living conditions of a large proportion of the populations in urban areas, appropriate slum upgrading measures shall be instituted for each slum/informal settlement, taking into account the above main components and factors. To further address proliferation of slums and informal settlements, the Government shall ensure supply of minimally developed but incrementally upgradable low cost housing.

### **c. Kenya Slum Upgrading Programme**

The Kenya Slum Upgrading Programme (KENSUP) is a collaborative initiative that draws on the expertise of a wide variety of partners in order to redress the issue of slums. The Government of Kenya executes and manages the programme while the Ministry of Land, Housing and Urban development and the relevant local authorities implement it. Civil society partners, participating local communities and the private sector complement and support their efforts. The primary goals of KENSUP is to improve the livelihood of people working and living in the informal settlements in the urban areas of Kenya, to reduce poverty and fulfill the Millennium Development Goal 7 Target 11 – to improve the lives of 100 million slum dwellers by the year 2020. The vision of the programme is to facilitate improved and sustainable urban living environments in Kenya while the mission is to develop and implement policies, programmes and strategies to facilitate reduction and prevention of slums in Kenya (Republic of Kenya 2004).

KENSUP main objectives according to the Kenya government includes: to develop a national wide slum upgrading and management framework, institute good urban governance, provide social and physical infrastructure, provide security of tenure and improved housing; enhance opportunities for income generation and employment creation; attract private sector finance and encourage investment in slum upgrading; promote a culture for environmental conservation and management; enhance the capacity for research, planning, implementation, monitoring and evaluation; and to address and mitigate the prevalence of HIV/AIDS (Republic of Kenya, 2004).

### **d. Kenya Informal Settlement Improvement Project**

The Kenya Informal Settlement Improvement Project (KISIP) is an initiative started by the Government in collaboration with the World Bank, SIDA and French Agency for Development (AFD) in June, 2011. It focuses on improving living conditions in existing informal settlements by investing in infrastructure and strengthening tenure security. It also support the Government

of Kenya (government counterpart funding is 10%) in planning for future urban growth in a manner that prevents the emergence of new slums. It will be implemented in 15 municipalities within five years from June 2011 at a cost of USD 165 million.

The project comprises four components namely:-

*(i) Institutional strengthening and programme management of the Ministry of Housing, Ministry of Lands and the participating Local Authorities;* *(ii) Enhancing tenure security:* This involves planning, surveying and issuance of titles. Several activities that will be undertaken under this component include preparation of guidelines for informal settlements, establishing databases on land tenure, community organization and mobilization, preparation of development plans including determination of settlement boundaries, detailed mapping and provision of secure tenure, identification and verification of beneficiaries based on agreed eligibility criteria, preparation of local physical development plans, issuance of letters of allotment to households/groups, surveying of individual plots and preparation of registry index maps, registration and issuance of titles to households or groups. The government would like to have a model/guideline for informal settlements whereby the identification will be mostly done by the community. *(iii) Investing in infrastructure and service delivery:* The Government will invest in roads, bicycle paths, pedestrian walkways, street and security lights, waste management, water drainage, sanitation, green spaces, platforms etc. in the informal settlement spaces and, *(iv) Planning for urban growth.* Lack of adequate planning is a challenge. Through this component, the Government will provide technical assistance to the municipalities. The goal of this initiative is to take measures that will reduce or prevent slums (Muraguri, 2012).

#### **e. National Slum Upgrading and Prevention Policy, 2012**

In 2012 the Government through the Ministry of Housing, initiated the process of developing the National Slum Upgrading and Prevention Policy. The aim of the policy is to transform slums and

informal settlements into more livable environments. For the successful formulation of the policy, the Government recognizes and undertakes to collaborate with all actors and stakeholders in an endeavor to ensure that the process is participative, all inclusive and compliant with the Kenya Constitution (2010).

The policy is in line with the fulfillment of the Millennium Development Goal No. 7 target 11. It is also informed by the Kenya Vision 2030 aspirations for a free nation and recognition of housing as a basic human right by the Constitution. In addition, with the anticipated acceleration of urbanization as Counties seek to establish respective capitals, the slum agenda has gained prominence with a renewed urgency to arrest the situation from escalating beyond manageable proportions; hence the focus on slum prevention where there are still no slums.

#### **f. The National Land Policy Sessional No.3 of 2009**

This policy is also quite explicit on the need for a slum upgrading Policy. It recommends the development of a Slum and Resettlement Programme and the need to put in place measures to prevent further slum development

#### **g. Kenya Vision 2030**

Kenya Vision 2030 aims to provide the country's population with adequate and decent housing in a sustainable environment. Overcrowding, lack of adequate sanitation and pollution in urban slums pose serious health risks to residents. Unplanned informal settlements on the other hand, pose a serious challenge to the socio-economic development of the country. Kenya's urban areas have over the years suffered from poor planning, which has resulted in the proliferation of informal settlements with poor housing and little or no infrastructure services. One of the Vision 2030 flagship project amongst others that is the principle vehicle for achieving housing and urbanization is installing physical and social infrastructure in slums in 20 urban areas to formalize slums, permit construction of permanent houses and attract private investment

## **2.6 Theoretical Framework**

Various Scholars have advanced many approaches of social change that deal with social structure hence many approaches to the study of urban housing. Different scholars and governments in addressing the issue of housing have applied several approaches. Urbanization theories among them migration, industrialization and dependency theories are used to give insights on the housing problems. According to Malu (2005) upgrading model (gentrification) in its view restores or smartens houses to make them more attractive for middle class residents.

A number of development theories tried in developing countries are influenced by the developed World to address the urban problem. Strong regulatory interventions (1945-1970), a Basic Needs approach (1970-1980), and Neo-liberalization with its varying emphasis on markets, privatization, enablement and good governance (1980-2000) were implemented in turn with limited success. New ideas and strategies like Sustainable Development are coming up with key focus on people as the starting point (Republic of Kenya & UNCHS: 2003).

The study focused on the people (slum dwellers) as the main stakeholders in upgrading hence used the participatory approach. The reason is that in order to get nearer to lasting development results or sustainable projects, many agree that a participatory approach has to be taken (Mikkelsen, 1995). This study also used the Stakeholders approach and the reason is that the two approaches incorporate the perceptions, attitudes and values of all stakeholders and therefore forge the essential component of lasting development.

### **2.6.1 Participatory Approach**

The study took the participatory approach of involving the slum dwellers as the main stakeholders in upgrading programmes. The reason is because participation guarantees the incorporation of the perceptions, attitudes and values of all stakeholders (Third Kenya Human

Development Report, 2004). Participation is an essential component of successful lasting development. It contributes to equity by involving people living in poverty and other groups in planning and implementation. This is because participation is in different levels, which include non-participation, information or indirect participation, consultation, shared control and full control. The quality of participation however depends not only on the level but also on the degree of intensity of participation.

There are potential benefits to be derived from increased participation. In order for the benefits to be realized, programmes should establish institutional and legal frameworks and decentralized processes that allow people greater involvement in making decisions that affect their lives. At the appropriate levels, projects should increase local autonomy and participation in decision making, implementation and resource mobilization and use especially with respect to human, technical and financial resources and local enterprise development, within the overall framework of a national economic, social and environmental strategy.

The key to participatory development means fulfilling the potential of people by enlarging their capabilities and this necessarily implies empowerment of people, enabling them to participate actively in their own development. Community members discuss, listen, plan, and take decisions about their maintenance problems together with local authorities and other relevant stakeholders. In order to fulfill their potential, people especially those who are vulnerable and disadvantaged, must participate actively in establishing and maintaining independent organizations representing their interests within each country's constitutional framework. The people-centred strategy therefore initiates processes leading to community based housing in their areas (ILO, 2003). Thus genuine participation initiated and managed by people themselves is a goal in the democratic process.

The participatory theory was applied to Manyatta East slum upgrading in the sense that community mobilization and involvement is taken by the implementing agency as an important tenet of the project's goal and objectives. The participatory theory has its shortcoming of not capturing the vast, rich and varied experiences of all stakeholders in the upgrading process. The form participation takes is highly influenced by the overall circumstances and the unique social context in which action is being taken. To encompass all this, the study also used the stakeholders approach.

### **2.6.2 Stakeholders Approach**

Stakeholders Approach involves inclusion of the central government, the local authorities, the societal organizations/cooperatives, the private developers and most importantly the community being upgraded. The approach holds that any program will be based on the premise that all stakeholders are key beneficiaries and therefore the starting point of departure. The reason is that all project activities aim at creating dialogue with the stakeholders and getting the necessary information from them through convenient communication methods (Mikkelsen, 1995).

However, Stakeholders Approach has been criticized basically on disadvantages of representation and delegation: involving people who may have limited knowledge of the subject area, slow decision making process and resulting to compromise which do not really represent 'best fit' in any particular way. Acceptance in this approach also relies on trust in those delegated. This approach needs care to ensure that all relevant issues are properly understood. This approach should allow full range of views and work to be carried out by those with appropriate skills and knowledge to permit project to move forward more rapidly.

Using the Stakeholders Approach, studies done in various countries such as El Salvador, Senegal, Zambia and Indonesia have shown remarkable departure from the World Bank's initial project objective of satisfying the lowest 40th percentile (Mitullah, 1985). According to Mamunji

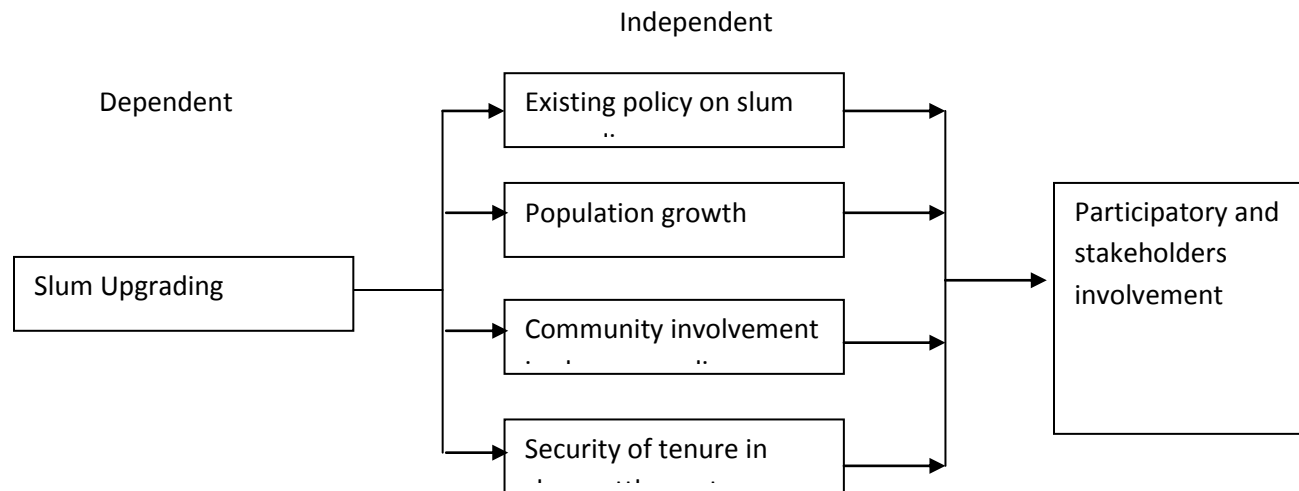
(1982), the efforts of slum dwellers should be recognized since they have scarce resources and minimum 'standards' should be applied for them. Even on the issue of standards, the application of minimum standards has often failed in slum development in Kenya because majority of slum dwellers are tenants who have no say in their shelter development as the slumlords shape and mould the policies related to slums .

Previous upgrading programmes in Kenya have been acting on policy premised on the assumption that those who live in slums own the plots and their shelters. The problem is therefore lack of tenure and provision of services. However, as found in a study of (Mitullah 1998) slum upgrading, most slum dwellers do not necessarily own the shelters in which they live. The majority only rent the shelter from slum lords. The popularity of both site and services, and upgrading of slums/squatter settlements is therefore based on the notion that giving the poor security of tenure transforms them into property owners. This enhances their ability to improve their housing condition. The stakeholders 'theory was applied to Manyatta because the main stakeholders being the residents of the area have been recognized and involved in slum upgrading. The theories helped the study in understanding the tenets involved in slum upgrading and bringing out the search for the objectives of the study.



## 2.7 Conceptual framework

Figure 2.1 Conceptual Framework Model



**Source: Author 2015**

The structure of slum upgrading is entrenched in the slum policy where the management and mobilization of the upgrading process are coordinated by settlement executive committee

The number of slum dwellers need to be mobilized and educated to have a meaningful role in slum upgrading. The planning of the slums needs to look at the number of slum dwellers and their impact in the slum upgrading process.

Community involvement helps create the sense of ownership and trust for the slum upgrading process. The mobilization and active involvement creates the sense of belonging. Cohesion and understanding are critical in making slum areas secure. Slum dwellers may be tenants who may have no say in the shelter development

## 2.8 Summary of literature review

From the literature review, it can be concluded that several factors play a role in influencing the implementation of various slum upgrading programmes. While the National housing policy is in

place, the customized slum policy is critical in controlling the proliferation of more slums in new areas. The test is thus whether the existence of such policies will be able to influence the implementation of slum prevention and/or upgrading programmes.

Slums are also known to have high populations and are overcrowded. Kenya's population is also growing at an alarming rate and it is believed that most of the population is finding its way into the slum areas. It is thus imperative to establish if the rapid growth in population do affect the implementation of various programmes in the slum areas.

If implementation of slum programmes is to succeed, then the local community ought to be fully involved because they are the ultimate beneficiaries. This is because where the community is non-receptive to the programme little will be done. Their co-operation is critical. Therefore the relationship between implementation of slum upgrading programmes and community involvement is likely to exist and should be established.

Security of tenure is also believed to influence implementation of slum upgrading programmes to a large extent because for instance where land is owned on freehold; it would be very difficult to relocate individuals in pursuit of implementing a given programme which may not be difficult.

## **CHAPTER THREE**

### **CASE STUDY AND RESEARCH METHODOLOGY**

#### **3.0 Introduction**

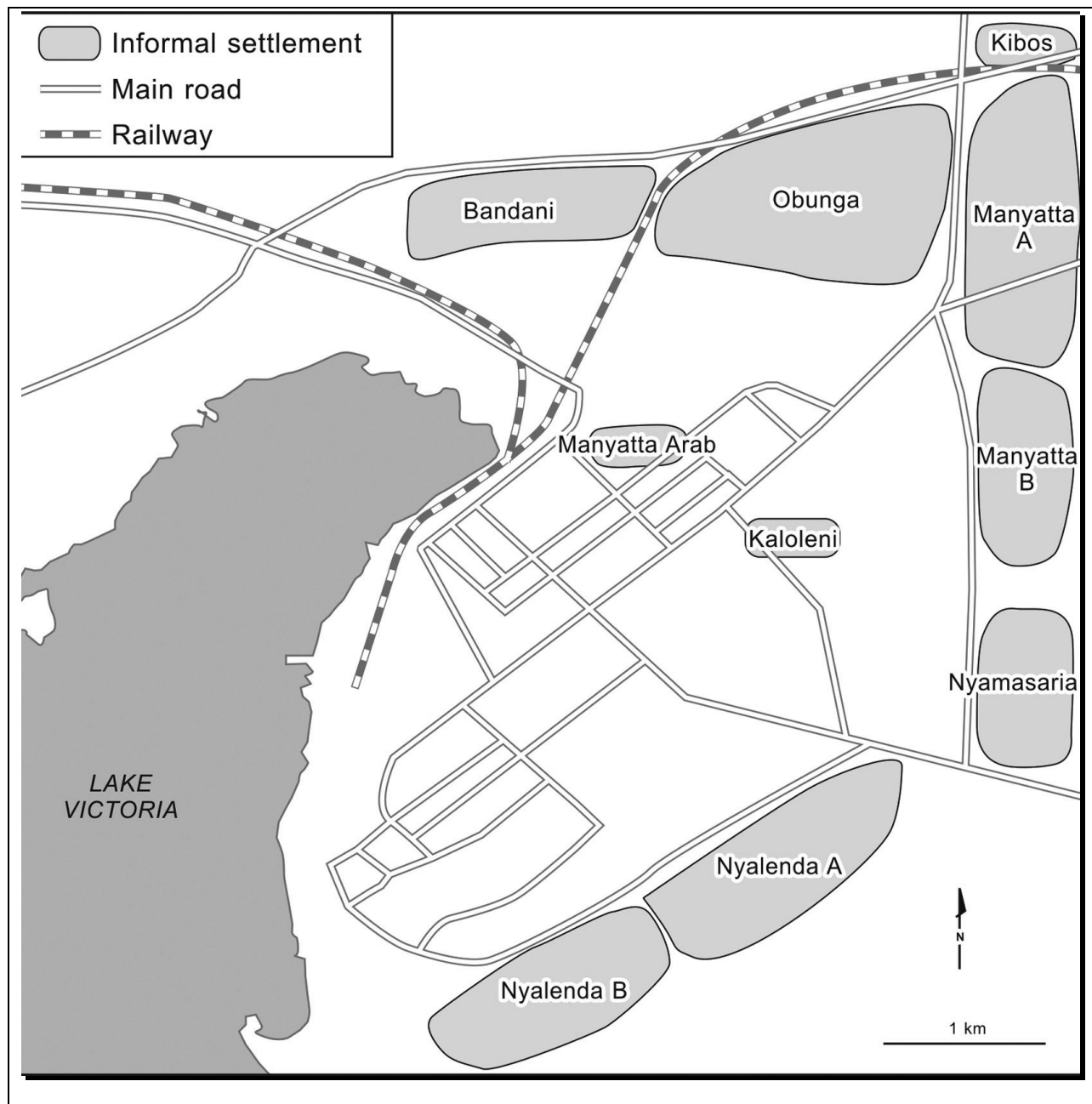
A comprehensive research methodology was developed to ensure that objectives of this research design were achieved. According to UNCHS (2001), effective slum upgrading requires active involvement of the target beneficiaries. The Participatory approach also emphasizes that participation is an essential component of successful lasting development will be used. Presented in the chapter are research design, target population, instrumentation, data collection, analysis and presentation.

#### **3.1 Case study**

Manyatta is an informal settlement divided into sections A and B located in Kisumu County. It is the largest and most populated of all informal settlements in Kisumu. It is located on the North Eastern fringes of the CBD. It has a population of 75,956 (Independent Electoral and Boundaries Commission, 2014)

The government has never owned land in the Manyatta area .The land is individually owned by indigenous population. In the lower parts of Manyatta “B”, poor drainage, susceptibility to water logging and the black cotton soils make construction very difficult. Those houses devoid of adequate foundations are liable to collapse. The Manyatta area has four major markets: Manyatta, Kondele, Koyango and Kaego. The markets have no access to water, electricity, refuse collection or proper toilets.

## Kisumu informal settlement



SOURCE: Karanja. I (2010)

### 3.2 Research Design

The research design is the conceptual structure within which research is conducted. It consists of the blueprint for the collection, measurement and analysis of data. As such the design includes an

outline of the framework of study, availability of various data, and observations. It means the exact nature of the research work in a systematic manner (Kothari, 2004).

This research used a case study approach. A case study is an intensive investigation of a unit. It involves picking a unit that is typical to others, studying it intensely then making conclusions. A case study was used because Manyatta is one of the slum areas where slum upgrading programmes are being undertaken.

The research was carried out in two phases. In the first phase, secondary research relevant to the research topic was reviewed. These included journals, official reports, books, and some other related information. In the second phase, primary research was conducted. This involved primary data collection techniques through structured questionnaires administration. The main reason why questionnaires were used to measure the dimensions related to different attributes. Data from questionnaire were examined and evaluated statistically.

### **3.3 Population and Sampling**

The most fundamental feature of any study is selecting an appropriate sample for the work under study from which to generate results. By the term sampling, it is selecting a representative group among a population (Kothari, 2004). Advantages of sampling are reduced cost, greater scope, greater speed, and greater accuracy.

The target population for this research study included Manyatta slum dwellers; Government Agencies and Ministries that have been involved slum upgrading programme. The sample consisted of 15 staff members of department of slum upgrading from the Ministry of Land housing and Urban development and 382 residents of Manyatta slums

According to Krejcie & Morgan (1970) in determining Sample Size for Research Activities a population of more than 75,000 thousand and less than 100,000 gives a sample size of 382 using this formula:

$$n = \frac{X^2 * N * P * (1-P)}{(ME^2 * (N-1)) + (X^2 * P * (1-P))}$$

Where :

n = required sample size.

$X^2$  = the table value of chi-square for 1 degree of freedom at the desired confidence level (3.841)

N = the population size.

P = the population proportion (assumed to be .50 since this would provide the maximum Sample size).

ME = the degree of accuracy expressed as a proportion (.05).

$$N = \frac{3.841^2 * 75956 * 0.5 * 0.5}{(0.05 * 0.05 * 75955) + (3.841^2 * 0.5 * 0.5)}$$

$$= 382.16$$

### 3.4 Data Collection

This is the process of gathering relevant data for analysis to make informed judgments. Data gathering was pursued in line with the objectives of the study. With these data different function were analyzed by use of excel, which was competent enough to generate data comparison tables, percentage analysis and graphs (Kothari, 2004). For the purpose of this study, data was collected by the following method:-

a) Well-structured and validated questionnaires were designed so as to elicit data in accordance with the research questions. Questionnaires had both open and close ended questions. The

intense literature study was used to develop the questionnaires. The 382 questionnaires were administered to the respondents in Manyatta slums and 15 others to the Technical staff in the department of slum upgrading where the researcher then collected them in person. Secondary data was collected from journals as well as books. Questionnaires were used because they are easy to administer, analyze and can be stored for future use. They are also less time consuming and sets the respondent free to give the correct information

### **3.5 Data Analysis**

Questionnaires used in the study were checked for consistency and completeness after data collection and before the data was stored. The data that was collected was edited for accuracy, consistency and completeness. It was then coded and cross-tabulated to enable the responses to be statistically analyzed.

### **3.6 Data Presentation**

Tables, graphs and figures were used in the presentation of data. These were generated from the data collected. They were used to summarize the findings in a logical sequence so as to clearly bring out the relationship between the variables.

## CHAPTER FOUR

### DATA ANALYSIS AND PRESENTATION

#### 4.0 Introduction

This chapter outlines the research findings and a discussion of the various responses gathered from the questionnaire. All the questionnaires used to collect information from the staff of the Ministry of land, Housing and urban development in the department of slum upgrading were returned; Out of 382 administered questionnaires used to collect information from the slum dweller of Manyatta in Kisumu 322 were returned.

#### 4.1 Respondents by Gender in Manyatta slums

Most of the respondents (65%) were male with only 35% being female. Housing is largely a women's issue, as women are primarily responsible for sustaining and maintaining the home and the family. Women-headed households represent a high proportion of the poorest people living in slums and informal settlements worldwide. (UN-Habitat, 2007)

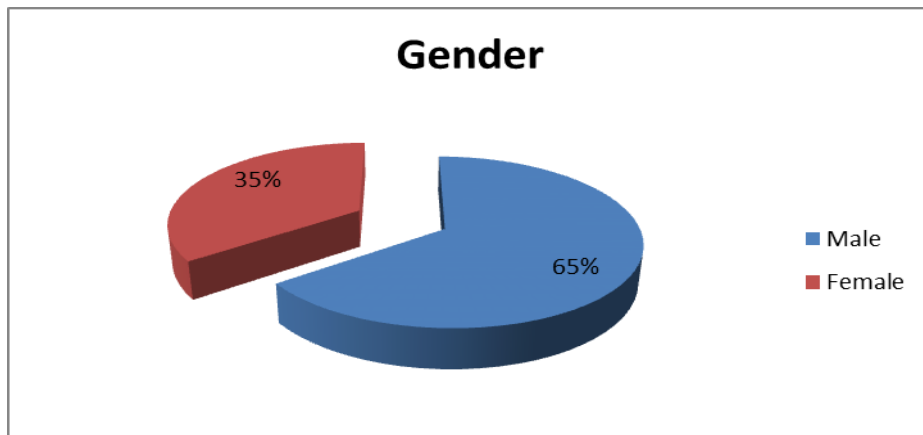
**Table 4.1 Gender of the Respondents in Manyatta slums**

Gender	No	Percentage
Male	209	65%
Female	113	35%

**Source: Field Survey, 2014**



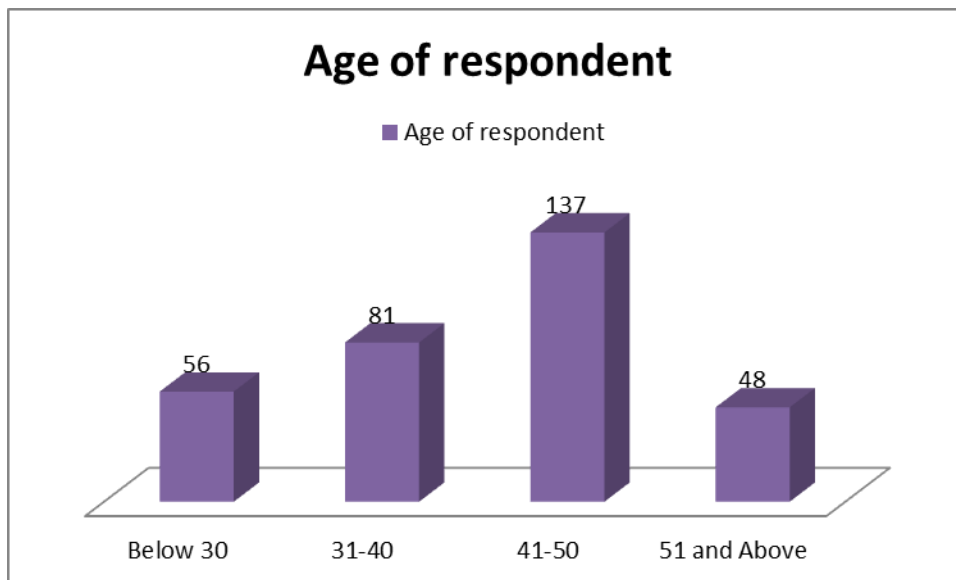
**Figure 4.0 Gender**



**Source: Field Survey, 2014**

**I. Age of respondents**

**Figure 4.1 Age of respondents**



**Source: Field Survey, 2014**

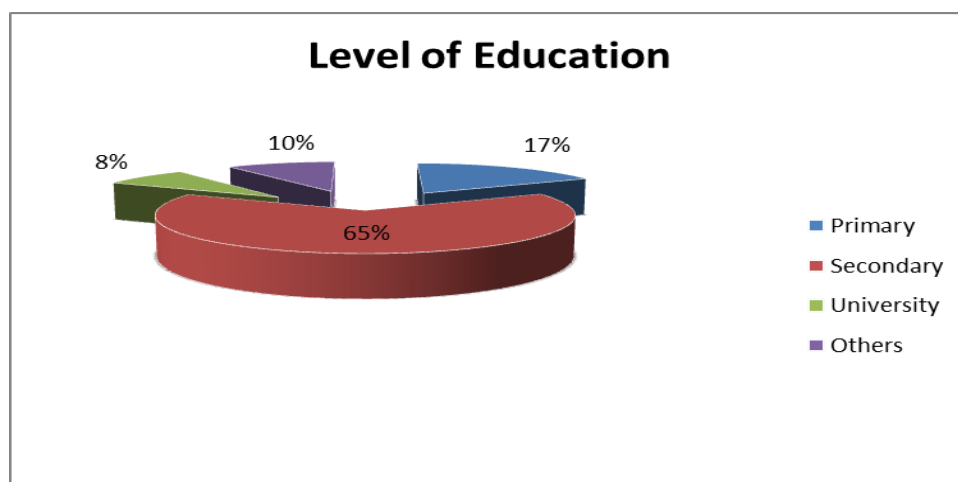
The age of the respondents was categorized into three groups i.e. below 30 years, between 31 and 40 years; 41-50 years and over 51 years. From the study findings, majority of the respondents (218 out of 322) fall into the working age. The fact that 68% of the respondents are in the working age means that their priorities poses a challenge in slum upgrading as they search

for cheaper livelihood.

## II. Level of Education

Out of the 322 respondents only 8% had achieved university education and 65% having achieved a secondary certificate whereas 17% and 10% having Attained primary education and tertiary education respectively. The low Percentage on university education may suggest that most of the respondents would not obtain formal employment and hence were on informal unemployment in the slum area.

**Figure 4.2 Level of education**



**Source: Field Survey, 2014**

## III. Length of Living in Manyatta (in years)

**Table 4.2 Duration of stay in Manyatta slums by respondents**

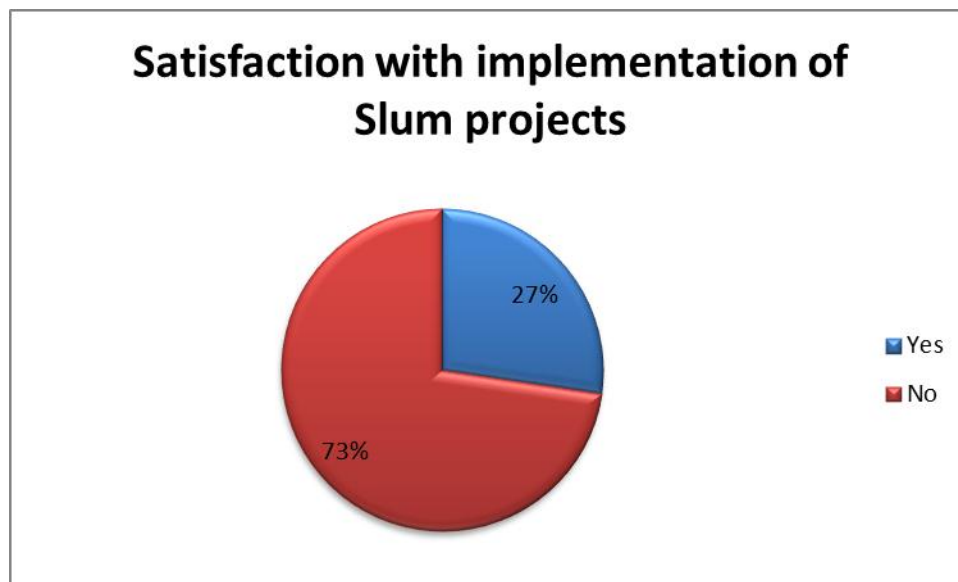
Duration	Frequency	Response rate (in %)
Less than 3 years	16	5.0
4 to 6	48	15.0
7 to 9	113	35.0
Above 10	145	45.0
<b>Total</b>	<b>322</b>	<b>100</b>

**Source: Field Survey, 2014**

On the duration of stay in Manyatta slums, 5%, 15%, 35% and 45% of the respondents have stayed in Manyatta for less than three years; 4 to 6 years; 7 to 9 years and over ten years respectively. The more years spent in Manyatta may suggest that most of the respondents were involved in planning and implementation of the slum upgrading programme.

#### **4.2 Level of satisfaction**

**Figure 4.3 Level of satisfaction**



**Source: Field Survey, 2014**

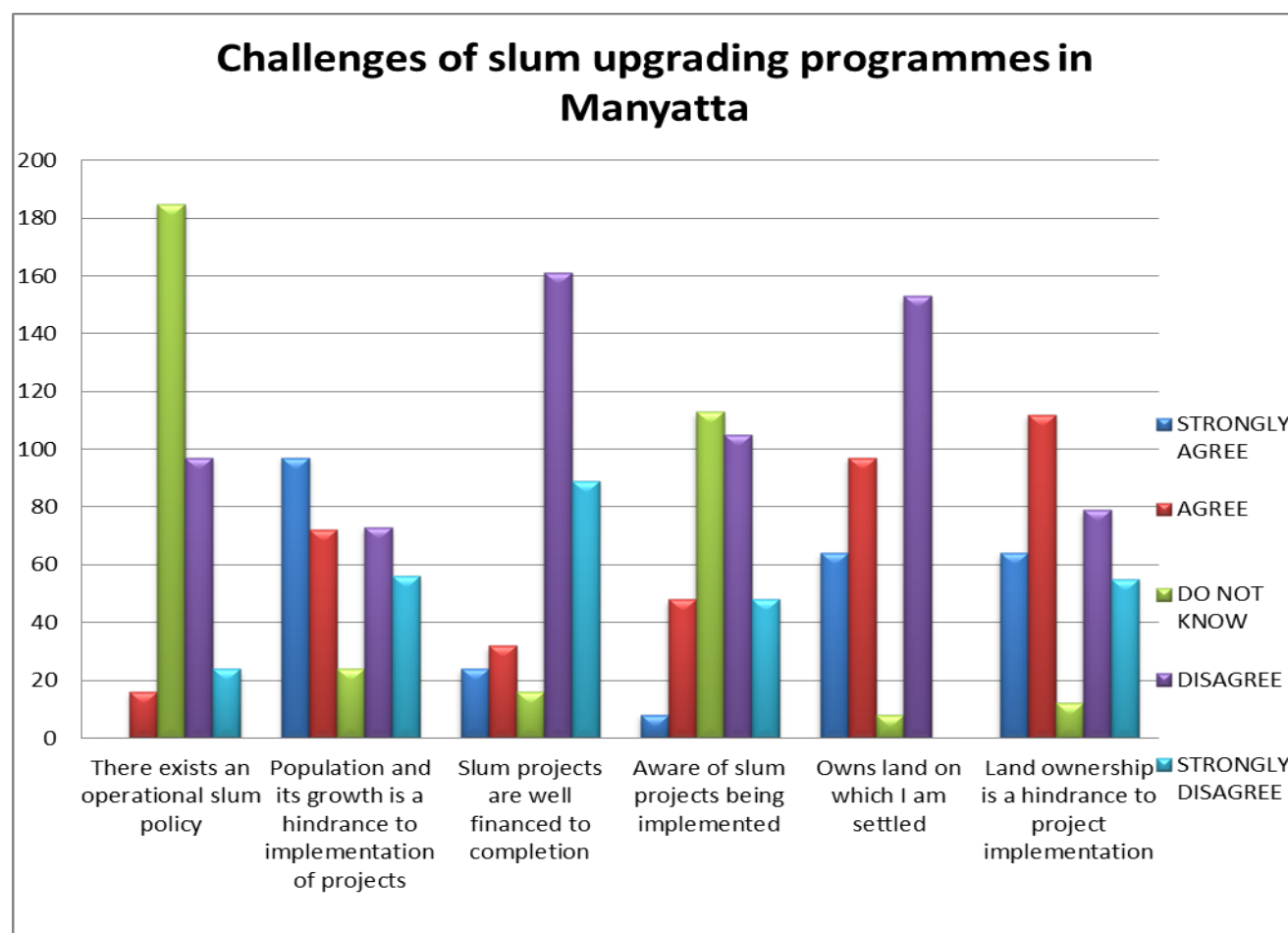
73% of the respondents indicated that they were satisfied on the implementation process of the slum upgrading programme while the remaining 27% were of the opinion that more needs to be done as they are not satisfied with the implementation of the slum upgrading projects in Manyatta.

#### **4.3 Challenges of slum upgrading programmes**

From the study findings, 34% of Manyatta respondents are not aware of the existence of a slum upgrading policy. This challenge is attributed to the slum dwellers ignorance, non-representation in the KENSUP stakeholders committee and lack of information giving amongst other reasons. It is paramount then that public education and participation should be an integral part of the

upgrading programme as well as in formulation of the policies.

**Figure 4.4 Challenges of slum upgrading programmes**



Source: Field Survey, 2014

**Table 4.3. Challenges of slum upgrading programmes**

Challenges	Frequencies	Percentage
Unaware of a operational slum policy	110	34%
Populaton growth	165	51.2%
Inadequate finance	270	83.5%
Unawareness of slum programs	155	48.1%
Land ownership	180	55.9%

Source: Field Survey, 2014

With respect to growth in population 51.2% of the respondents indicated that an increase in population hinders slum projects implementation. This challenge is attributed to the fact that the rise in population is not proportionate to the rise in standards of living hence an increase in those living in poverty and hence proliferation of the slums

83.5% of the respondents indicated that the slum projects are not fully funded to completion. The respondents said that the funding of the programme has been receiving is low compared to other development programmes. As a result, there has been a slow implementation of the programme and non-completion. In addition Poor quality of workmanship is another challenged identified by the respondents. This can be attributed to the low level of education amongst the slum dwellers and hence the quality of the workmanship is low.

48.1% of respondents indicated that lack of awareness by the slum dwellers in the slum upgrading projects being undertaken is also a major problem. The respondents attributed the challenge to such factors like the slum dwellers ignorance and lack of information on the projects amongst other reasons..

55.9% of the respondents indicated that land ownership which is hindrance to project implementation in slums. According to the respondents any regularization of tenure will result to loss of income, power and control over a society they are currently benefitting from. The slum dwellers thus lack the good will to support implementation.

Resistance to the slum upgrading programme was another significant challenge established by the study. With 150 out of 322 respondents indicated that they live on a land owned by others (slum lords). The slum lords generate income from the built structures and therefore are against

the programme that would see the demolition of those structures which derives income to them. Syagga et al. (2001), states that the slumlords have persistently, vehemently and even violently resisted the slum upgrading programmes.. These factors combined leads to slowing down of decision making and slow implementation of the upgrading programme. Slum upgrading requires political will and firm commitment of governments that can sustain long-term programming and implementation ( Ndukui 2013)

**Table 4.4 Respondents from the department of housing on challenges affecting the implementation of slum upgrading programmes in Manyatta**

<b>Respondents from department of slum upgrading</b>	
<b>Challenges</b>	<b>frequency from most common</b>
Diverse interests from various groups	9
Various levels of power and influence-Absentee landlord	8
Low or poor budgetary allocations	7
Lack of an institutional framework to guide the slum upgrading process	6
Lack of participation from slum dwellers	5
politicization of the slum upgrading issue thus slowing down decision making	4
Lack of adequate land	3
Lack of good will and trust from the slum dweller	2
Environmental degradation	1
<b>Total</b>	<b>45</b>

**Source: Field work 2014**

Respondents from the department of slum upgrading ranked highly the diverse interests from various groups followed by influence-absentee landlord as the challenges affecting slum upgrading programmes while environmental degradation was ranked the least. Others factors that were subsequently ranked include low budgetary allocations, lack of institutional framework, lack of participation form slum dwellers, politicization, inadequate land and lack of good will and trust from slum dwellers.

#### A. Others factors affecting implementation of slum upgrading programme by Manyatta respondents

**Table 4.4 Others factors affecting implementation of slum upgrading programme by Manyatta respondents**

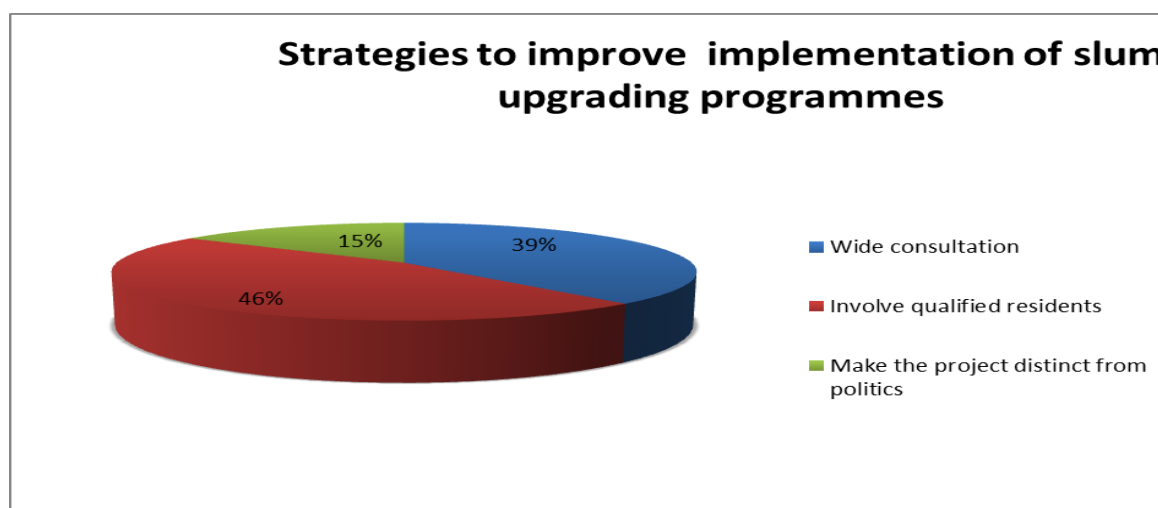
Other factors	Frequency
Lack of adequate public consultation	102
Poor quality of workmanship	59
Resistance from some individuals	78
Political interference	83

**Source: Field work 2014**

Respondents from the Manyatta slums ranked lack of adequate public consultation highly, followed by poor quality of workmanship and resistance from some individuals while political interference was ranked the lowest. This political interference is associated with the fact that the informal settlement is a center of interest for influential politicians and government officers. With its high population, the area is a fertile ground for votes and politicians and government officers own structures or are landlords in the area.

#### 4.4 Strategies to improve implementation of slum upgrading programmes

**Fig 4.5 Strategies to improve implementation of slum upgrading programmes**



**Source: Field work 2014**

The respondents suggested that the inclusion of qualified residents in the slum upgrading

programmes (46%); wide consultations (39%); and minimizing political interference (15%) in the projects will highly improve on the implementation of slum upgrading programme.

#### **4.5 Respondents for department of slum upgrading on Institutional Arrangements for Slum Upgrading in Manyatta Slums**

The study found out that the institutional arrangements that have been put in Manyatta slums falls under three levels i.e. Settlement, Local Authority and the National level.

##### **4.5.1 Settlement Level**

Slum upgrading in Manyatta approach fully embraces the principle of stakeholder inclusivity and recognizes community level as the starting point. Communities in slum settlements are not homogeneous and in order for the communities to appreciate the events in slum upgrading, there is need to create a framework that harmonizes the disparities;- Settlement Executive Committee(SEC), composed of a cross-section of representation groups based on selected criteria (e.g. structures owners, tenants, gender, disabled, religion etc.) main role is to act as a link between the Programme Implementation Unit (PIU) and settlement community. The SEC facilitates community networks, cooperatives, and resource mobilization processes such as savings and credit schemes among others. It is the forum for advocacy for community rights and ideally ensures full community participation in decision-making.

The study affirms Syagga et al., (2001) sentiment that “the non-resident structure owners also referred to as slumlords or absentee-landlords have persistently, vehemently and even violently resisted the slum upgrading programmes. Amis (1984), states that the slumlords are typically wealthy and well-connected individuals. Through politico-ethnic patronage and connections to the politicians, the local authorities or the local provincial administration, the slumlords have obtained a quasi-legal or illegal and informal right to build in the slums.



#### 4.5.2 De facto local authorities

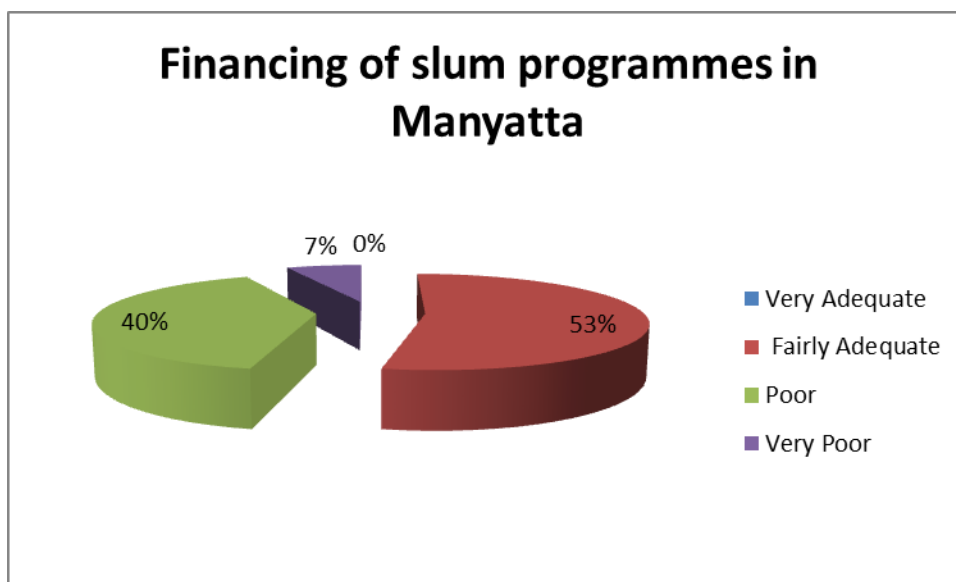
As per the Local Authorities' core mandate, they are involved in provision of basic public goods and services, shelter, social and physical infrastructure in the areas of their jurisdiction. In this respect, Municipal Council of Kisumu undertake and monitor ground implementation of slum upgrading components in the village. MCK has comparative advantages by having multi-disciplinary and technically qualified personnel; and have experience of slum upgrading and low cost housing as derived in the sites services schemes

#### 4.5.3 National Government

The study found out that at the National Level, Ministry of Housing through the Slum Upgrading Department coordinates slum upgrading activities in Manyatta village. The Department steers KENSUP, holds government budgetary allocation vote for the Programme.

#### 4.6 Respondents for department of slum upgrading on financing of Slum Programmes in Manyatta in Kisumu

**Figure 4.6 Financing of slum programme in Manyatta**



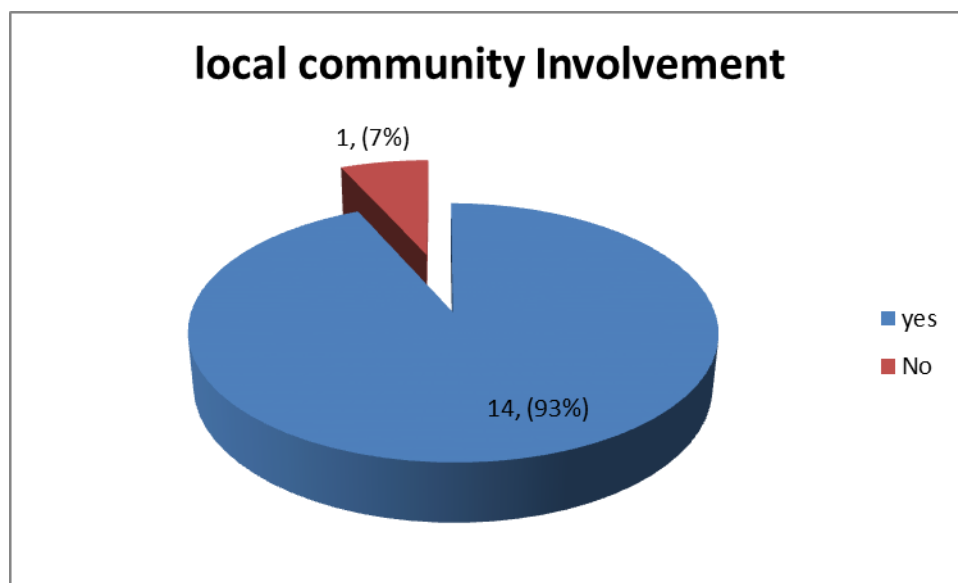
Source: Field work 2014

53% of the respondents indicated that the finance was fairly adequate; 40% indicated that the funding was poor and 7% indicated the funding was very poor. The all indicated that much attention was not given to the slum improvement .They indicated that most of the finance goes to the infrastructural works and little s left on house constructions. On the 7% who indicated that there was poor financing in slim programmes highlighted that slum upgrading involve upgrading the living standards of the residents and hence the need to incorporate small scale business (stalls) in the upgrading programme and probably issue startup capital to the residents.

#### **4.7 Respondents for department of slum upgrading on Local community involvement**

The respondents indicated that about 93% of the local community in Manyatta was involved in the slum upgrading exercise while around 7% did not take part in the slum upgrading programmes

**Fig 4.7 local community involvement**

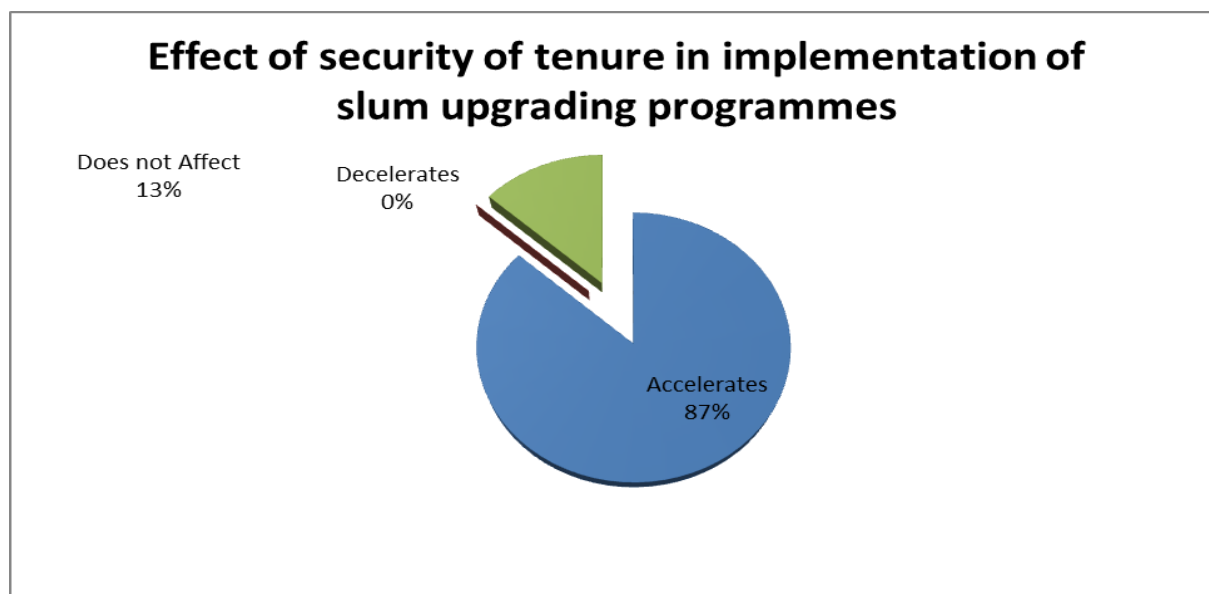


**Source; Field work 2014**

#### 4.8 Respondents for department of slum upgrading on effect of security of tenure in implementation of slum upgrading programmes in Manyatta

87% of the respondents indicated that with security of tenure, this speeds up the implementation of the slum upgrading programme while 13% were on the view that this does not have any effect on the slum upgrading programme. Where there is clear ownership of the land slum upgrading programmes are easy and faster to implement, however in areas where there is no security of tenure but there is harmony and cooperation among the resident's, slum programmes can easily be undertaken. This once again emphasizes the need for public participation

**Fig 4.8: Effect of security of tenure in implementation of slum upgrading programmes.**



**Source: Field work, 2014**

#### 4.9 Improvement on the implementation of the programmes

To improve slum upgrading programmes	Ranked from most preferred
Higher budget allocation	1
Legal security of tenure	2
Public sensitization	3
Community involvement	4
Coordination of various stakeholders	5
Enforcement of policies to urban and urban sprawl	6
Effective land use planning which incorporates slum dwellers	7

The respondents indicated that the following ranked from the most preferred to the least will go a long way in improving the implementation of the slum upgrading programs; higher budget allocation, legal security of tenure, public sensitization, community involvement, coordination of various stakeholders, enforcement of policies to urban and urban sprawl, and effective land use planning which incorporates slum dwellers

Lastly, the study findings reaffirm that most of the challenges faced in slum upgrading are almost the same as pointed out in this study conceptual framework

## **CHAPTER FIVE**

### **SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATION**

#### **5.0 Summary of findings**

The first objective of the study was to establish how existing policy on slum affect implementation of the programmes in Manyatta Kisumu County. The following question was thus raised; how does existing policy on slums affect implementation of the programmes in Manyatta Kisumu County? The finding in this study indicated that the respondents in Manyatta are not aware of an existing policy but they have institutions arrangements such as Settlement level, de facto Local Authority and the National level.

The second objective was to establish and rank the factors that affect the implementation of slum upgrading programme; the question raised in regard to the objective was; what are the critical factors that affect the implementation of slum upgrading programmes?

The findings established that lack of awareness of an existing slum policy; high population growth; inadequate financing and security of tenure were the challenges hindering implementation of the slum upgrading programme. The lack of awareness of an existing policy may have been due to lack of adequate consultations with the local community. The high rapid growing population which is not in tandem with a rise in income is a threat to slum upgrading projects and thus hinders the implementation of slum projects. The inadequate budgetary allocation which was mostly used in infrastructure works and little was left to mobiles housing construction and thus the housing menace was still a challenge and hence the slums.

The third objective was to determine the level of influence of the most ranked factor on implementation of the programme in Manyatta. The findings indicated that security of tenure a critical factor in implementation of the slum upgrading programme. Where there was clear ownership the implementation would move fast. Manyatta slums being in a private owned land

suffers a set back from the slumlords who own the land yet they do not live in them. The Slum lords capitalize on the income they receive and frustrate any attempt to improve the area as it is the source of their livelihood.

## **5.1 Conclusions**

Based on the data analysis and discussion herein, it can be rightfully concluded that slum implementation programmes remain a challenge. The lack of awareness of an existing policy by the slum dwellers makes it difficult to fully implement the programme as they don't fully appreciate.

The unprecedented population growth exerts pressure on the existing services and with non consumerate levels of income; this makes the increased population to look for cheaper means of living and hence proliferation of slums. In implementing slum programs the element of creating employment opportunities and provision of cheaper services should be addressed with a futuristic approach on growing population.

Community participation is critical for successful implementation of the programme. The sense of ownership is essential as it brings unity and acceptance by the people hence minimal conflict. The goodwill by the community will ensure a successful implementation.

The regularization of tenure will open up the areas for further development as there is less fear of victimization and fear of eviction. The security of tenure promotes investment and hence a reduction in slum will be speeded up through the upgrading process. In addition adequate funding will ensure a successful implementation of the program.

## **5.2 Recommendations**

In view of the findings and conclusions, this study proposes the following recommendations:

- i. A participatory approach should be used in implementing the programmes and massive sensitization done to the all relevant stakeholder's in the slums. the local population on their role both at policy and implementation stages.
- ii. The budgetary allocations should focus more on house development and employment creation. The government should significantly increase its budgetary allocation for the slum upgrading programme if noteworthy impact is to be realized.
- iii. To capture goodwill and trust from the slum dwellers, education should be an integral part of the upgrading programme as a base to promote their dignity and freedom. Slum dwellers should be invited to participate in training seminars, workshops and conferences on slum upgrading.
- iv. To reduce expansion of the slums, effective land use planning which involves the slum dwellers and urban sprawl policies which should address the social, economic and cultural needs of the slum people.

## **5.3 Area for Further Research**

The area on slums is vast and most of the studies have concentrated on the major cities. Due to constraints encountered within the study the researcher would recommend other studies to be done on the correlation between existing and emerging slum areas in Kenya and also the effects of population structure on slum upgrading.

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## **QUESTIONNAIRE FOR MANYATTA RESIDENTS**

My name is James Mwangi Gikonyo, a postgraduate student at the University of Nairobi undertaking a study on The Challenges affecting the implementation of Slum Upgrading Programmes in Manyatta estate in Kisumu in partial fulfillment of my Postgraduate Diploma in Housing Administration in the Department of Real Estate and Construction management. Any assistance accorded in answering this questionnaire will be highly appreciated.

Thank you

**Section A** (tick on the appropriate box)

1. What is your age bracket?

Below 30 ☐ 31-40 ☐ 41-50 ☐ 51 years and above ☐

2. What is your gender?

Male ☐ Female ☐

3. What is your highest level of Education?

Primary ☐ Secondary ☐ University ☐ others (specify) \_\_\_\_\_

4. For how long have you been living in Manyatta?

Less than 3 years ☐ 4-6 ☐ 7-9 ☐ above 10 ☐

5. Are you satisfied with the implementation of the slum upgrading

Yes ☐ No ☐

**Section B**

Rate the following on a scale of 1-3

1-strongly agree    2-agree    3-Do not agree    4-Do not agree    5-strongly disagree

NO	CHALLENGE	1	2	3	4	5
1	There exists an operational slum policy to guide implementation of programmes in my area					
2	The population and its growth is a hindrance to implementation of programmes in my area					
3	Kenya slum upgrading programmes are well financed to completion					
4	I am aware of the slum upgrading programmes being implemented in my area					
5	I own the land on which I live in Manyatta estate					
6	Ownership of land in Manyatta is a hindrance to the implementation of slum programmes					

### Section C

6. What in your opinion affects the implementation of various slum programmes in Manyatta estate?

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7. What can be done to ensure effective implementation of such programmes in future?

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**QUESTIONNAIRE FOR THE DEPARTMENT OF SLUM UPGRADING**

My name is James Mwangi Gikonyo, a postgraduate student at the University of Nairobi undertaking a study on The Challenges affecting the implementation of Slum Upgrading Programmes in Manyatta estate in Kisumu in partial fulfillment of my Postgraduate Diploma in Housing Administration in the Department of Real Estate and Construction management. Any assistance accorded in answering this questionnaire will be highly appreciated.

Thank you

(Complete the following questions)

1. List the institutional arrangement put in place for effective implementation of slum upgrading programmes.

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2. How would you rate the financing of slum programmes in Manyatta in Kisumu city

Very adequate ☐ fairly adequate ☐ poor ☐ poor ☐

Give reasons for your answer and a recommendation on the finances availed

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3. Was the local community fully involved before the commencement of the programme implementation?

☐☐



Yes

No

4. In your opinion, how does the security of tenure affect implementation of slum upgrading programmes in Manyatta?

Accelerates

Decelerates

Does not affect

5. In your opinion what challenges affect the implementation of slum upgrading programmes in Manyatta estate in Kisumu?

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6. What can be done to improve on the implementation of the programmes?

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