# FACTORS INFLUENCING THE IMPLEMENTATION OF THE SLUM UPGRADING PROJECT IN KIBERA SLUMS, NAIROBI COUNTY, KENYA

**ZIPPORAH ABAKI**

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

**2018**

## DECLARATION

This thesis is my original work and has never been presented for an award in any other University or institution of higher learning.

Signature: ..... Date: .....

**Zipporah Adhiambo Abaki**

**L50/73099/2014**

This thesis has been submitted for examination with my approval as University Supervisor:

Signature: .....; Date: .....

**Prof. Harriet J. Kidombo**

**Open Distance and E-Learning Campus**

**University Of Nairobi**

## DEDICATION

This work is dedicated to my husband Kenneth Riany and children Isabelle Riany and Shammah Riany as an inspiration.

## ACKNOWLEDGEMENT

I am grateful to all those who contributed significantly to the development of this research proposal. First and foremost, I wish to convey my sincere gratitude and appreciation to my supervisor; Prof. Harriet Kidombo who spent countless hours guiding me throughout the development and accomplishment of this work. I am deeply indebted to her for her unwavering support, patience and encouragement shown throughout the supervision. I am also grateful to the immense support received from my lecturers: Prof. Mwangi Gakuu, Dr. S.W. Luketero, Mr. Bwibo Adieri and the entire staff of Extra Mural, for their contribution, support and encouragement throughout this course. I would like to thank my husband, Kenneth Riany for his invaluable input during the research writing proposal stage. Your positive comments and criticism helped me complete this report. My special appreciation also goes to my children; Isabelle and Shammah and my parents: Rev. Bishop David Abaki and Kesiah Abaki for their understanding and moral support throughout the study period.

## TABLE OF CONTENT

## LIST OF TABLES

## LIST OF FIGURES

## ABBREVIATIONS AND ACRONYMS

| | | |
|---|---|---|
| **CBO** | **:** | Community Based Organization |
| **COHRE** | **:** | Centre for Housing Rights and Eviction |
| **GDP** | **:** | Gross Domestic Product |
| **GoK** | **:** | Government of Kenya |
| **HIV** | **:** | Human Immunodeficiency Virus |
| **IHC** | **:** | International Housing Corporation |
| **KENSUP** | **:** | Kenya Slum Upgrading Programme |
| **KIPPRA** | **:** | Kenya Institute for Public Policy Research & Analysis |
| **MDGs** | **:** | Millennium Development Goals |
| **NCC** | **:** | Nairobi City County |
| **NGO** | **:** | Non-governmental organization |
| **NHC** | **:** | National Housing Cooperation |
| **SD** | **:** | Sustainable Development |
| **SUF** | **:** | Slum Upgrading Facility |
| **UNDP** | **:** | United Nations Development Program |
| **UN-HABITAT** | **:** | United Nations Human Settlements Programme |
| **UNICEF** | **:** | United Nations Children's Fund |
| **USAID** | **:** | United States Agency for International Development |

## ABSTRACT

Recent developments in the urban population dynamics has led to the development and incessant growth of informal settlements. These informal settlements, popularly known as slums arise as a result of low incomes and inadequate housing provision system for the urban poor. Kibera is one such slum where housing shelters are of low quality characterized by open sewers, contaminated water pipes and without a formal waste management system. The Kenyan government is concerned in upgrading slum settlements to improve the supply and quality of affordable housing for low-income earners, thus the establishment of Kenya Slum Upgrading Programme in 2000 involved in the upgrading process. This study investigated factors influencing implementation of the slums upgrading programmes with specific reference to the Kenya slums upgrading programme in Kibera slums. The objectives were: to assess the urbanization; the community participation; the security of land tenure; and funding, influence the implementation of Kibera slums upgrading programme. The study adopted a descriptive research design, collecting data from a target population comprising of 600 Soweto slum upgrade project beneficiaries from whom a representative sample of 150 beneficiaries was sought, and the KENSUP staff involved in the Soweto project. Self-developed questionnaires were used to collect data from the study sample. Quantitative data was analysed through the statistical tools while qualitative data from open-ended questions was presented through thematic narration with interpretation done in line with literature review. From the data analysis, the study found that the Kibera slum upgrading program implementation has been influenced by project funding, community participation and security of land tenure. It was found that the three factors of project funding, community participation and security of land tenure have a positive impact on project implementation and hence improvement in these factors would lead to improvement in the implementation process. However, the study found no relationship between urbanization and project implementation despite the factor being vital at the project planning and initiation stage prior to the commencement of project implementation. Community participation was found to be a more important factor than funding and land tenure as it had a greater influence on project implementation, highlighting the need for community participation in public projects. The study therefore concludes that project funding, community participation and security of land tenure are the factors that influence slum upgrading project implementation. The study recommends a timelier approach to funding by the project trust, government and donor agencies; more involvement of the beneficiary communities; improvement in land adjudication and security of land tenure so as to improve project implementation. The study also suggests further research of a similar study in a different geographical setting, and socio-demographics to optimize the understanding of factors influencing project implementation in slum upgrading projects. Study on factors influencing public project implementation should also be done in other sectors such as agriculture to understand other factors present.

# CHAPTER ONE

# INTRODUCTION

## 1.1 Background of the Study

Projects that are smoothly run at times may fail to succeed as a result of factors that surround the implementation process (Mochal 2003). Those problems often crop up because project managers do not anticipate and plan ahead towards finding the solution, making deployment for project implementation complex. Touwen (2001) observed that a number of events makes up project implementation. Key among these activities are: ensuring community participation prior to project launch, activities coordination, monitoring and evaluation, and catering for the contingencies. In charge of the management of these activities is the project manager, project coordinator, or the project management committee.

The project implementation phase of project management is the point at which the project plan is effected according to the design. It involves several activities depending on the type of project. Some of these activities are: equipment and machinery specification and preparation, equipment assemblage, seeking the construction contractors, and project trial and testing, all occur during at this phase. Considering the work volume, the project work done at this phase lies between 80- 85% of the whole project workload (Touwen 2001). Given that majority of the workload lies within this phase, this is the point time and resource minimization ought to be achieved as it is essential to complete this phase fastest possible while utilizing minimal amount of resources.

According to Pinto, *et al.,* (1986), successfully implemented projects are generally those that are completed on schedule (time), within the project budget (monetary), within the set goals (effectiveness), and fitting the expectations and needs of the project beneficiary (client satisfaction). Key factors affecting the successful implementation of projects includes the clearly defined goals and project general direction. Other factors include the willingness to provide necessary resources and authority by top management, availing project schedule, provision of client consultation, the personnel selection and training process involving the recruitment, selection, and training of necessary project personnel; availability of requisite technology and expertise, client approval, communication, providing comprehensive control

information in a timely manner at every stage of the implementation process, and the capacity to handle unforeseen crises and deviations from planned project path (Pinto *et al.,* 1986).

A UN-HABITAT (2008) and KENSUP Strategy documents revealed that more and more people are moving to the cities and towns seeking employment and other available opportunities within the urban centres, leading to the growth of Kenyan slums at unprecedented rate. This translates to a serious challenge for government and local authorities in managing physical development and availing adequate services to the increasing urban population. The United Nations Human Settlements Programme (UN-HABITAT) project: Bridging the Urban Divide 2010/2011 (2008), observed that more than 200 Million people in the developing countries would be lifted out of the slum conditions within the 2000 and 2010 period. This resulted from governments making collective efforts of enhancing the living conditions among those dwelling within slums. The report indicates a decline of the urban population living in slums from 47% in 1990 to 37% in 2005 in the developing world. However, the global situation is different from the Kenyan experience where the slums continue to grow as more people move to the urban areas searching for jobs and other opportunities.

The consequence of unequal urban growth in various countries today has given rise to various challenges that each nation has to face. According to the UN-HABITAT (2008), some of the challenges are: marginalization, intense poverty, income inequalities, environmental degradation, and historical socio - economic injustices. UN-HABITAT (2010), found that if the urban divide is let to not only persist but keep growing, an enormous gap can be created producing social instability or high social and economic costs not only to urban poor but to society at large, making it likely impossible to achieve sustainable urban development. The UN-HABITAT and KENSUP project, For a Better Urban Future (2008), observes that numerous cities in Kenya are confronted with critical challenges.

Urbanization is the key factor when it comes to slum growth as it affects the capacity of the state and local authorities to control the physical growth of cities and offer critical services to their urban citizens. According to UN-HABITAT and KENSUP (2008), as a result of rural-urban migration, rising urban poverty and inequality levels, high and rising cost of living, lack of transparency in land allocation systems, land grabbing, and the inadequate investment into the low-income housing sector, have led to urbanization becoming the most notable factor

causing rapid growth of slums in the major cities and towns of Kenya. Urbanization persists in Kenya and was projected that more than 50 percent of the total population will constitute urban dwellers by 2015 (UNHABITAT & KENSUP, 2008).

Field *et al*., (2006) observed that slum upgrading projects dwell upon the delivery of basic services to targeted low income communities in a bid to enhance their well-being, which includes a range of infrastructural programs often implemented in conjunction with social ones, such as regularizing the land tenure for insecure tenure areas. Other improvements in infrastructure comprise of water supply and sanitation, waste management, housing conditions improvement, roads and footpaths, drainage, lighting, communication, schools and other education infrastructure, health institutions, and community centres. The social improvements that simultaneously implemented with infrastructural development include enhanced delivery of health and education services, day care and other education services such as skills training, and social security programmes.

According to Field and Kramer (2006), resources investment into slum upgrading project should be founded ideally on a clear proof of the specific more effective intervention. Questions that need to guide such interventions include: what effect does slum upgrading projects have on population welfare and how can they be enriched to meet the needs of the urban poor? Additionally, policymakers ought to recognise the specific intervention with greater effectiveness than others.

### 1.1.2 Implementation of Slum Upgrading Projects

Bourgeoning urban populations have led to rising poverty levels in the world's largest urban centres. According to a UN HABITAT (2010) report, 827.6 Million people are slum dwellers out of 3.49 billion people who lives in cities. The world largest slum with approximately 4 Million people is thought to be Neza-Chalco-Itza Barrio based in the City of Mexico, followed by Orangi town in Karachi, Pakistan which holds about 2.5 Million people. Sadr City in Iraq located in Baghdad has about 2 Million residents and Petare in Venezuela City houses about 600,000 to about I Million people.

The UN-HABITAT, Slums and Housing in Africa project (2006), notes that Africa is home to the second largest slum population (South Asia leads this category); with the people currently residing in slum being estimated to be 166 Million from 231 Million overall urban populace. Particularly, 72% of the urban population in Sub-Saharan Africa (SSA) live in the informal settlements (slum); and constitute almost two-thirds of the global slum population (UN HABITAT 2006). According to Franceys (2011), the UN expects the African population of over 1 billion to have doubled by the year 2050. By this time, they approximate that three times as many people will be dwelling within African cities making up an urban population of 1.3 billion. According to the UNHABITAT, African cities are globally the most unequal, with majority of them already overwhelmed by slums that are growing larger by the day.

Small dwelling spaces and overcrowding, poor sanitary conditions, disease spread and distinct deficiency of basic services are characteristics associated with majority of African slums. The largest slum in Africa is considered to be Soweto of South Africa with 1.3 Million inhabitants, estimated to be about a third of Johannesburg city's population (Census Report, 2008).

Livelihoods of approximately 24 Million people living in slums in Africa have been improved in the last decade according to UN-HABITAT (2008). This only cover 12% of the efforts globally availed to reduce this rift in urban population. However, annually, about 14 Million more people become part of the urban populace in sub - Saharan Africa due to rural – urban migration and population growth. The proportion of those (among) who joins the formal urban population, acting as agents and beneficiaries of formal urban economic growth are approximately 30% of the 14 million. The rest 70% join the informal settlements conditions with only about 2% being expected to escape the slums. North of Sahara, the proportion of slum residents has declined by 5% (17 Million) with North African countries such as Egypt, Morocco and Tunisia, making the greatest progress by improving the lives of about 8.7 Million slum dwellers (UN-HABITAT 2008).

In order to accomplish the UN-HABITAT global goal of urban centres without informal settlements, cities in developing countries should actively device urban development, planning and management policies with the intension of preventing emergence of slums, while at the same time allowing introduction of slum upgrading programs within the poverty reduction strategic context. The informal settlements problem should be considered from the wider

context of general miscarriage of welfare and market - based low-income housing policies and strategies for many of the countries in this quagmire. Slums growth in cities is blamed on a blend of factors such as: rural - urban migration, poor neighbourhoods' marginalization, rising urban poverty and inequality, inaccessibility to affordable land & housing for urban poor, poor maintenance of the housing in poor neighbourhoods, and inadequate investments into low-income housing.

Slums upgrading on top of providing low-income housing development ought to be integrated with consistent and vibrant policies in urban development, planning and management. Provision of low income housing aspect of slum upgrading should involve the supply of adequate and reasonably priced serviced land for the development of economically suitable low-income housing for the poor to avert emergence and growth of slums. Pursuit of devolved urbanization strategies where possible is encouraged at the nation scale to ensure even spread of rural-to-urban migration and prevent congestion in prime cities that partly accounts for the bourgeoning of slums in such state.

Compared to the direct migration control, decentralized urbanization is a more acceptable and effective measure to manage rapid rural-urban migration problem. Conversely, this measure only work if implemented within a structure of suitable national policies of economic development with integrated poverty reduction strategies (UN-HABITAT, 2008).

### 1.1.3 Kenya Slum Upgrading Programme

Slums in Kenyan cities have been growing at unprecedented level with more people moving to the urban centres searching for jobs and other opportunities. The challenge of guiding development of urban areas and availing sufficient services to the growing urban population lies with the state and local authorities. The urban dwellers in Kenya makes up 40 percent of the country population. Those of the urban populace living in slums is 70 percent, among whom there is limited accessibility to housing, water and sanitation, and very poor security of tenure. The slum dwellers are faced with high levels of crime due to poor security and have poor ability to cope with the environmental conditions. These adverse consequences of urbanization might end up being irreversible if the gap between supply and demand is allowed to grow further for the urban services such as water, sanitation and housing.

An agreement between UN-HABITAT and a former government (President Moi regime) led to the initiation of the Kenya Slum Upgrading Programme (KENSUP) in year 2000, which was renegotiated in January 2003 when a new NARC (National Rainbow Coalition) government of President Kibaki came into power. The initial project plan included a pilot KENSUP project expected to be implemented in Kibera: the largest slum in Nairobi covering an area of 110 hectares split into 13 'villages', with a capacity of over 600,000 inhabitants. However, a detailed situational analysis undertaken in 2001 led to the decision to limit the pilot project to Soweto 'village', located in the south-eastern section of the Kibera slum with a smaller population of about 60,000 inhabitants. The launching of the pilot project in Kibera – Soweto village was done on World Habitat Day in 2004 involving the demonstration of the planned slum redevelopment into blocks of flats consisting of $50m^2$ two-bedroomed housing units to be privately owned by the residents (Huchzermeyer, 2008).

Established as a collaborative initiative, KENSUP rely upon the expertise of a wide array of partners in a bid to implement the project. The Government of Kenya has the mandate of executing and managing the programme through the Ministry of Housing while other relevant local authorities undertake the project implementation. On the other hand, the civil society partners, participating local communities, the private sector, and the UN- HABITAT offer complementary support to their efforts. KENSUP aims at achieving livelihoods improvement of people living in the Kenyan slums by providing security of tenure of land resources and improving physical and social infrastructure, while at the same time offering housing improvement and income generation opportunities. Since the 2004 pilot project, implementation is ongoing in four cities and the Kenyan Government purposes to expand the slum upgrade project to other regions.

The UN-HABITAT's involvement in KENSUP's Kisumu, Nairobi, Mavoko, and Mombasa slum upgrading projects focus on varying aspects of the slum upgrading progamme that includes implementation of the pilot projects that seeks to find appropriate models for scaling up and replicating these activities in other upgrading programs as well as building the capacity of the local implementing authorities.

Views posited by the United Nations Human Settlements Programme (2008), *UN-HABITAT and the KENSUP Strategy Document,* indicate that an unprecedented rate of growth has been observed for the Kenyan slums people throng the urban centres and towns seeking employment or other available opportunities. The serious challenge encountered by the government and local authorities in aiding the physical development of cities is providing sufficient services for the rising urban population. The United Nations Human Settlements Programme (UNHABITAT), *Bridging the Urban Divide 2010/2011* (2008), noted that it was planned that more than 200 Million inhabitants of the developing world would have been lifted out of informal settlements conditions in the decade between 2000 and 2010.

This has resulted from governments making effort towards improving the livelihood of the people living in slum. The report indicate that the proportion of city residents living in informal settlements indicated a decline from 47 percent in 1990 to 37 percent in 2005 within the developing countries. Nonetheless, 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. According to UN-HABITAT (2008), these challenges include income inequalities, environmental degradation, great poverty, marginalization, and historical socioeconomic inequalities and other exclusion forms. Achievement of sustainable development within the urban areas is possibly difficult when the urban gap is let to not only persist, but also keep growing, becoming a giant gap that leads to social instability, creating very high social and economic costs both for the urban poor and the general society (UNHABITAT, 2010). UN-HABITAT and KENSUP, *For a Better Urban Future* (2008), observes that many Kenyan urban centres are facing major challenges.

The important factor in widening urban gap is the rapid urbanization, which outstrips the aptitude of government and local authorities to manage the physical growth of towns providing critical services to the urban residents. According to UN-HABITAT and KENSUP (2008), urbanization has led to rapid development of slums in Kenyan urban areas, and when combined with issues of rural-urban migration, leads to increased urban poverty and inequality, non-transparent land allocation systems, land grabbing due to insecurity of tenure, high cost of living, and poor investment into the low-income housing sector. Urbanization remains in

Kenya and it was estimated UNHABITAT & KENSUP (2008) that by 2015, urban people will rise above 50 percent of the country population.

### 1.1.4 Kibera Slums in Kenya

Some of the slums in European and Asiatic cities can be traced back to hundreds of years. They existed in the days of what has been called the "pre-industrial city." characterized by both physical condition and a specific way of life. The crowded conditions in India and Hong Kong are often attributed to Asiatic norms, the filth of the slums of Lima and Rio de Janeiro to the Latin American way of life, the drunkenness and violence of Negro and Puerto Rican Harlem to the racial and ethnic profiling.

The slums in Nairobi are some of the most densely populated, insecure and with very poor sanitation in all of Africa, and the largest, Kibera, has the unfortunate merit of being the worst. It has been described in many circles as the worst slum globally. It is home to a population of between 800,000 and 1.2 million, hence constitute nearly a quarter of the population in the city of Nairobi within an area of just 630 acres, located roughly four miles from the central business district. The slums has very harsh condition and life there is profoundly unforgiving.

People living in the slum faces dire levels of deprivation every day including but not limited to: abysmal sanitation, severe overcrowding, malnutrition, chronic diseases, and high levels of insecurity. The conditions faced in the slum have been evolving heightened by the national and municipal governments' indifference and neglect for decades. However, some non-governmental organizations and with many acquiring the support of the World Bank, have sought to change the situation in the slum by sponsoring slum upgrading projects over several decades in the past realizing varying degree of impact with hardly any defined success. In 2002, the national government of Kenya finally acknowledged the severity and persistence of the problem, and took a decisive action of forming the Kenya Slum Upgrading Program (KENSUP).

KENSUP has a focus of implementing slum upgrading projects that are inclusive, sustainable, accountable, democratic, and transparent, and more importantly those that offer slum communities better housing, easier access to basic services, land tenure security, and income generating opportunities (Mulcahy and Chu, 2007). This study undertakes an examination of

one of the pilot projects implemented by KENSUP, the Kibera Soweto slum upgrading project, a joint Kenyan government and UNHABITAT program focusing on one of Kibera 'villages' with a population of 70,000 inhabitants. The study focuses on the impediments posed by the various conditions existing in the project implementation zone; the various elements implementation team develops to manage these challenges, project's benefits, and the valuable lessons learnt in the implementation of similar projects.

### 1.2 Statement of the Problem

Improvement of the living standards among the poor in the urban areas has received wide interests in the last two decades. This interest has led to the formulation of policies to drive this agenda at the global and national level. Globally, the Millennium Development Goals (MDGs) were created with a target of having significant improvement to the living conditions of a minimum of 100 Million slum residents by 2020. Kenya wasn't left behind in making efforts to enhance the standards of living for slum dwellers, with its greatest contribution being KENSUP establishment whose mandate is to facilitate the upgrading of Kenyan slums. The Kenya Vision 2030 projected that by 2012, 200,000 slum dwellers should have their livelihoods improved under KENSUP (GOK 2007).

However, according to the UN-HABITAT (2005), the progress of Kibera slum upgrade has not been sufficient to counteract the slum growth. The report states that: "…efforts of the various stakeholders to decrease the quantity of informal settlements dwellers or improve their living standards, are neither adequate nor satisfactory". The absolute number of slum residents has continuously increased despite the upgrading efforts. The Kibera decanting site according to Government of Kenya (2011), was expected to be completed by 2007 but was completed in September 2009. According to the report, various other projects in the upgrading process are behind the planned completion time.

Given the urbanization trends and the rising size of slum population, the interventions made in slum upgrading are an important component of the development process (Field, *et al.*, 2006). Slums are subject to increased population which is compounded by lack of strategies to deliver services for urban residents as confirmed by the rapid expansion of slums which houses a majority of urban residents (Wasao, 2002).

Given that urban population is growing at 3.5% (UNICEF 2009) this therefore means worsening of poverty and perhaps the rate of severity of such incidence will increase. This is related to the increasing population pressure within the slums where most of the urban poor reside, and the eventual expansion in size of the slums. To ease this pressure and stop expansion of the slums in urban areas, Kenyan government established the KENSUP, with a mandate of managing the slum upgrade projects in Kenya. However, nearly two decades after its initiation, the programme has done very little in changing the livelihood of the slum people and the success of its projects has been very poorly rated (Anyiso 2013); hence the obligation of ensuring understanding of the underlying factors that affect the project implementation. In view of the foregoing, the study sought to assess factors influencing the implementation of slum upgrading program within Soweto, Kibera slums in Nairobi.

### 1.3 Purpose of Study

This study sought to examine the factors influencing the implementation of slum upgrading programs with a specific reference to the Kenya slums upgrading project in Soweto, Kibera.

### 1.4 Objectives of the Study

1. To assess the influence of the rate of urbanization on the implementation of Kibera slums upgrading programme;
2. To examine the influence of community participation on the implementation of Kibera slums upgrading programme;
3. To establish the influence of land tenure systems on the implementation of Kibera slum project upgrading programme;
4. To assess the influence of funds availability on the implementation of Kibera slum upgrading programme.

### 1.5 Research Questions

The following research questions were answered in the study:

1. How does the rate of urbanization affect the implementation of the Kibera slums upgrading programme?
2. What is the influence of community participation on the implementation of Kibera slum upgrading programme?

3. How does the land tenure affect the implementation of Kibera slum upgrading programme?
4. How does the availability of funds influence the implementation of Kibera slum upgrading programme?

### 1.6 Significance of the Study

Development projects in any country plays key role in economic, social and cultural development in any country and effective implementation of these projects contribute significantly to the economy. The outcomes of this study are beneficial to project planners, government agencies, financiers and other key stakeholders, all who need to know the pertinent information on the various factors influencing project implementation.

The study is beneficial to the researchers and scholars who would desire to generate additional knowledge or fill identified knowledge gaps related to the implementation of community development projects. It is also important to the community development donors as it clarifies the factors that have an influence on the implementation of projects they fund in the country and hence enable them effectively plan themselves prior to the initiation of projects.

The research contributes to the existing knowledge and literature on slum upgrading programs in relation to their implementation and provide propositions that may lead to improvement of success of the implementation programs for the upgrading of informal settlements in Kenya. This information can be used by the government to identify gaps in slum upgrading programs and adopt effective approaches for the response towards meeting the urban poor needs.

### 1.7 Delimitation of the Study

This study was conducted in Soweto, Kibera slums. This is due to the fact that there is an ongoing slums upgrading project in the area.

### 1.8 Assumptions of the Study

The study was done on the assumption that the residents of Kibera and officials from the Ministry of Housing and KENSUP were willing to provide relevant data that was accurate and reliable for the study. Also that Community based organizations provided basic information on housing relating to informal settlements in the country. The study also assumed that the

target respondents had enough knowledge related to the Soweto slum upgrading program project and are privy to the benefits the program has.

### 1.9 Limitations of the Study

The investigation of this research was carried out in Kibera slum where data was collected. The study did not focus on other slum upgrading programs in the county due to time and limited resources on the part of the researcher. The time frame available to conducting the research was limited and therefore the research findings are not used to generalise on the other similar programs. However, the findings could be used to conduct comparative studies on similar projects

### 1.10 Definition of Terms

**Community Participation:** Refers to the involvement of a specific community in a project from the conceptualization, the implementation, and project sustainability stages as the key beneficiaries of the program.

**Land Tenure:** This refers to an individual's or group of individuals' right to the occupancy or usage of a piece of land. It can be achieved either through direct ownership or leasehold.

**Slum Upgrading Programs:** This relates to the process of improving the social and physical environment of the slum settlement by setting up decent affordable housing units, improve the infrastructure and basic services.

**Implementation of Slum Upgrading Programs:** This relates to the successful realization of the project objectives within the set period, especially based on the benefits realized by the project beneficiaries.

**Urbanization:** This is the projected rate of change in urban population size over a given time period (annually in this study).

### 1.11 Organization of the Study

The study has been organised into five key chapters. It commences with chapter one consisting of the background of study, problem statement, study purpose, study objectives, the research questions, study significance, study limitations and delimitations, the basic assumptions, and end by defining the key terms used in the study. The second chapter, chapter two, offers a

general overview of the vital issues associated with the concept of implementation of slum upgrading and informal housing projects and has made use of past research, case studies and real life experiences. Chapter three shows the adopted methodology and comprises of the research design, study area, study population, sampling, sample size, data collection and analysis, and ends with a discourse of the ethical issues observed in this research. Chapter four present the analysis and interpretation of the data collected from the field, with both quantitative and qualitative methods being applied. A summary of the key findings as per the set objectives, discussion of the findings and recommendations developed thereof, including suggestions for further research, are provided in Chapter Five of the study, which is the closing section of the research project.

# CHAPTER TWO

# LITERATURE REVIEW

## 2.1 Introduction

Chapter two offer insights into the recent literature done by scholars and researchers covering the various aspects relevant to understanding the factors influencing the effective implementation of donor funded slum upgrading programs giving analysis with a global, regional and local perspective. It reviews the relevant literature informing the specific and general research objectives. Specifically, the chapters covers the literature related to each of the study specific objectives. It also offers a critical review of key issues, presents the research gaps to be filled, the conceptual framework, and culminates with a chapter summary.

## 2.2 Implementation of Slum Upgrading Program

Urbanization plays a major role in the growth of slums. Over a billion people throughout the world live in informal settlements, and at the global scale, the informal settlements has emerged as a significant problem in the developing countries. After the colonial period cities in developing countries grew rapidly during 1960s and 1970s. The inflow of people from the rural to the urban zones, popularly known as rural – urban migration, has seriously affected the urban settlement patterns in these regions causing the development of informal settlements in many parts of the world, (Navarro, 2008).

It is evident that rapid urban population growth has put pressure on available job opportunities, social amenities and other important human needs hence the governments especially in African and Asian nations have to deal with a bigger problem emanating from urbanization. Urbanization has also affected planning by governments and has exceeded the capacity of the city authorities to avail housing, health and environmental infrastructure (Field *et al.*, 2006). The rate of establishment of formal jobs in the urban areas lies below the anticipated growth rate of the labour force, thus most of the urban residents, running into millions in number within developing countries, reside within slums as they are unable to meet their basic needs of food, water and sanitation, shelter, as well as health, and good affordable education.

A high rural-urban migration rate was experienced in the Egyptian urban centres leading to an upsurge of the urban population which compromised the country's ability to provide affordable housing facilities. This led to the emergence of slums with 70 percent of the dwellers in these informal settlements being concentrated in Cairo and Alexandria (Rashid, 2009). Informal settlements in cities sprout from government land which remains unused for long period hence easy targets for the homeless since there is a substantial number of citizens who do not have a place to call home (Onyango, *et al.,* 2005).

Another factor that has contributed to the formation of informal settlements is the inability of governments to strategize and proffer enough affordable housing for the low income earners within the urban population. Rising urbanization is mostly observed in the developing countries where the population, though chiefly rural is quickly turning urban, especially in Africa and Asia where a third of the population lie below their country poverty line. A small quantity of residents of informal settlements live in the cities of the developed world, but majority can be found primarily in African, Asian, Latin American and Pacific cities (UNHABITAT, 2009).

Asia accounts for approximately 60 percent of the global urban slum dwellers, while a significant number being found in South America such as Brazil where close to 10 million people live in slums, such as the case of Sao Paulo where there are close to 1,600 favelas (Kremer, 2005). West, Central and East Africa are the most rapidly urbanizing regions in the African continent. Ronald Mears in his book "historical developments of informal settlements in Johannesburg since 1886" clearly demonstrates the social and political intrigues that led to emergence of Soweto which is globally one of the largest informal settlements. Poor political decisions are blamed on the development of Soweto informal settlements as the government of the day segmented its citizens into classes and undermining the poor (Maina, 2013).

### 2.3 Urbanization and the Implementation of Slum Upgrading Program

In the contemporary world, urbanisation has been accepted as one of its features. The contemporary world is progressively getting increasingly urban and lesser rural with the urbanization level prominently being entwined with the development level. However, the ongoing urbanization haven't necessarily led to the betterment of the quality of life for all, but rather has produced a state where the principles of sustainability have been contravened.

Within the urban centres of the developing countries, an urgent need for: the accommodation of the fast growing population, provision of necessary infrastructures, addressing the problems associated with deteriorating physical environment, and improve housing conditions, has been on the rise particularly among the urban poor. This is the situation in the major urban areas with the inequalities increasingly becoming apparent over the years, especially the case of land whose accessibility is grossly unequal, effectively constituting a real social barrier (Moraes and Abiko, 2007).

It was estimated that by the year 2008, majority of the population will live within the urban areas throughout the developing world, resulting in exponential growth of the populations in the informal settlements. The most rapidly urbanizing region in the world is the Sub-Saharan Africa with most of this population influx happening within the slums leading to overcrowding, scanty housing, and severity of the conditions of water and sanitation services. The urban growth in Western Asia is also mostly concentrated in slums. In Southern and Eastern Asia, the rapid urbanization is causing development of cities of extraordinary size and complexity where new challenges in the provision of decent environment for the urban poor are cropping up. The Northern Africa region is the only region in the developing world where improving quality of urban life has been observed. The fraction of urban population in the region living in informal settlements has been decreasing at an annual rate of 0.15% (UN-DESA, 2006).

Urbanization mainly denotes the fraction of total population residing within the urban areas in a country. A key urbanization feature is the high concentration of key national multi - sectorial functional centres, facilities and infrastructures. The main regions of concern and significance in the urbanization discourse are the issues of sustainable transport, economic development, the urban poor and slum settlements, reconciliation of the industrial development, the environmental impacts, and the variations and trends in governance. A wide consensus exists with everybody agreeing that housing is essential to everyone's quality of life and health. Housing, on top of being a very prized asset, has a broader economic, cultural, social and personal implication (Rashid, 2009).

The housing development technique affects the urban development goals, equity and poverty eradication; adopted construction designs, and the location of housing. This also influences the management and sustainability of the environment, natural disasters mitigation; and reflects and protects the key elements of culture and at times religious beliefs. There is likelihood of future increase in housing crisis due to the current urbanization rate further leading to incapacity of the housing delivery systems to handle the housing needs in developing countries. In the next 2 decades, it is projected that so as to house the newly formed households and replace inadequate units in urban areas, an annual approximate figure of 35 million units require to be erected globally.

Such demographic trends increases the pressure on governments to pursue the right strategies and enhance the capacity of housing delivery practices. To start with, housing cannot be looked from a perspective of problem area necessitating major social spending but a mean through which promotion and mobilization of savings, employment expansion, and economic rejuvenation can be achieved, particularly as a poverty alleviation tool. The multiplier effect in the economy amplifies the income and employment prospects generated by housing construction. Despite most of the developing countries recognizing the economic and social benefits of housing development, a number of hurdles that impede the advancement of housing delivery processes still persists.

There is rapid urbanization in many countries globally as more and more people move from the rural areas to the urban centres and the normal population growth keep rising within the city populations. In the contemporary world, more than half of the world population dwells in urban zones with more than 90 percent of these urban population growth occurring in the developing world. There are a number of reasons associated with rural - urban migration. These include:

Pushing and pulling forces of migration: some rural people relocate by being pushed out of their domicile by factors such as natural disasters or sustained ecological changes. Others are pulled to a new destination by better education, job prospects, health facilities, or the freedom from restrictive social or cultural realities.

Low incomes from agriculture: agricultural sector is the dominant economic activity in the rural areas, which is highly reliant on the weather. Additionally, there are limitations to rural land, its fertility at times dwindling, small land holdings, high farm debts, and households becoming landless. With these factors there is consensus that the overall rural earnings are low.

Better job prospects: compared to the rural zones, urban centres offer increased prospects for a job opportunity. Additionally, urban cultures are less constrained than the rural cultures, hence cities proffers better upward social mobility prospects.

People are aware of what is in the offing in the cities. Majority of the migrants deliberately choose to live in rural areas. The prospects of the city include the improvement in transport and communications, while the linkage with other migrants have made the rural populations much more aware of the pros and cons of the urban life, particularly the job opportunities and housing issues. Often, urban migration is a survival stratagem for the rural people. At times, the rural households split into several sub-groups in different locations within the rural areas, small towns, and big cities, in a bid to diversify the sources of income and minimize vulnerability to economic downturns (Rashid, 2009).

### 2.4 Community Participation and the Implementation of Slum Upgrading Program

Community involvement is an essential element of any upgrading program particularly for programs touching on any housing aspects of the community since the community which developed the settlement is charged with the end use of the improved houses in the settlement. In a human settlement upgrading program, contrasting the orthodox housing patterns or the usual sites-and-services program, the project beneficiaries are already on the project site, and hence very essential to encompass the community in the overall project preparation, regularization and the upgrading process.

Similarly, Touwen (2001) noted the necessity of promoting the local enterprises addressing the needs expressed by the slum communities instead of simply applying the western models. Simply put, an effective slum upgrading program should focus on building the capacity of the beneficiaries so as to ensure they acquire independence, awareness of their rights, and cultivate sustainability for the local initiatives. All these plans cannot be implemented without the active collaboration between the project implementation team and the local community.

According to DFID (1999), early incorporation of stakeholders' inputs in a project the development ensures that controversial issues are addressed prior to them becoming severe and causing major conflicts. Additionally, considering the housing problem magnitude among the poor urbanites, governments are unable to finance, on their own, upgrading and regularizing housing in the urban areas, and therefore the communities have to play a part in the payment of most or part of the costs for the upgrading programs (Syagga, 2011).

Community participation improves program implementation and impact hence throughout the program cycle, the program manager's role is to technically facilitate the processes and probe the community members with the right queries, encouraging deeper appreciation of the prevailing socio-political positions and acquiring the stability to work with members of the community while allowing them to assume the lead in creating solutions (Syagga, 2001).

Olima 2001 on the other hand opined that it is a challenge to develop and maintain stakeholders' participation that requires adoption of various strategies and considerations to counteract. On top of designing the specific project plans, confirming the project participants, and type of involvement; one also need to form the basis for identifying and including all the stakeholders. The challenges related to participation is overcome by strategic involvement of all the groups in all stages of project implementation. Views exhibited by UNHABITAT (2008), indicates that all the actors in the urban sector with a stake in the slum upgrading are usually involved in the whole process. The report indicates that the agency ensures that the affected members of the community are well involved in slum upgrading sometimes as their basic right to have a say in the processes designed to shape their lives.

The experience of the World Bank indicates that success and sustainability levels of housing upgrading programs is reliant on the level of community involvement in implementation, decision-making, operations and project maintenance, on top of their in kind and financial contributions to the project. Community centred upgrading succeeds where the slum occupants are offered the chance to rally their efforts towards addressing the issues specifically affecting them. Tayler and Cotton (1993) observed that the project implementation activities and verdicts reached ought to be well monitored and evaluated, preferably decided upon in discussion with the project beneficiaries to ensure decisions, activities and benefits are meaningful.

In Brazil, the upgrading approach of the Favelas focused on ensuring community involvement throughout the entire program cycle and the Municipal Secretariat of Housing established contact with the selected communities with an aim of bringing the city government and community to work together. Neighbourhood associations and community groups are allowed to participate in preparatory meetings during the planning phase. During the implementation phase government officials encourage community members to establish working groups to support the construction of new infrastructure. Involving the community strongly is also not recommended because it affects the planning and design of programs thus a balance should be sought. In Ghana, the community anticipated upon commencement of the upgrading programs, improvements would begin to be realized after the next three months (Boonyabancha, 2009).

In Kenya, successful slum upgrading programs have been implemented such as the Huruma upgrading program located in Kambi Moto that commenced in 1999 as an initiative of Pamoja Trust, a non-governmental organization. A participatory approach was adopted involving tenants, structure owners, Muungano wa Wanavijiji (a network of community savings group), the Department of Planning in Nairobi City Council (NCC), and Pamoja Trust. Community members themselves lead the mobilization and lobbying process for the improvement in land tenure and services provision, creation of settlement plans, and upgrading process conceptualization, and at the end, with the assistance of savings and loan schemes created and ran by community members, finance and build the houses (Wasao, 2002).

Community's self-organization was key to success of the Kibera slum upgrading process. The residents organized, financed and contributed labour to all phases of site, construction and materials preparation. The community worked with Nairobi City Council to acquire a communal land title, and then cultivated a savings culture through a well-organized and managed daily savings scheme that allowed the residents to access external capital loans which helped finance building of new upgraded units. The organization trained the community on participatory planning, and acted as a liaison between the community and the NCC. They also acted as technical advisor during construction and they also helped develop a savings scheme model. UN-Habitat, (2008) opined that this method ensures resources are equitably distributed, there is community empowerment, and the upgrading program is sustainable.

Provision of security of tenure and facilitation of improvements in housing conditions by the residents encourage even wider participation of the community in the upgrading efforts. Additionally, the roles and responsibilities are established and clarified for the stakeholders, comprising the government, NGOs, private sector and local community (World Bank, 2008).

### 2.5 Land Tenure and the Implementation of Slum Upgrading Program

Land tenure refers to a formal binding contract that offers the holder the rights to the usage, inhabitation, security from forceful eviction, and a prerequisite for the investment in housing structures within the land, as well as attaining community ties (Syagga, 2011). There are many benefits to a secure land tenure which leads to increased economic growth, and offer solutions to inequalities and poverty. A stable tenure is a key source of identity, status, security and political power, serving as a basis of pursuing and acquiring other rights (Habitat for Humanity, 2008). Were the slum residents offered security of tenure, they would invest more towards improvement of their housing conditions (Gulyani, 2008).

Most informal settlements are set up on public land either under the custody of the central government or under leasehold form of land tenure. As a basic resource, land is important to the low income earners as it is usable in mobilizing other resources. Additionally, African land on top of being an economic good has spiritual connotation representing the ancestral heritage of the people (Otsuki, 2011). Management of the land resource is therefore vital in the African society, more so in relation to the affordable and decent housing provision for the urban poor. Therefore, it is essential to address land issues by introducing comprehensive land policies and revising the existing land governance and administration systems. It is also vital to clearly address the land tenure to regularize and formally integrate the informal settlements in the city planning framework (Navarro, 2008).

Thailand and India have different land tenure systems, they have adopted the collective land tenure strategy to safeguard the poor people into keep their land, secure their housing, and their communities' sustenance. The Baan Mankong Program in Thailand on the other hand advocate for varying tenure systems where communities efforts take many forms such as: procuring land they already occupy, purchasing other nearby land, negotiating purchase or lease of a portion of the land they already occupy through a land-sharing agreement, and acquiring long-term leases to existing or neighbouring land from public landowning agencies. The tenure systems

that these communities negotiate include joint land ownership within community cooperatives, and long, medium or short term cooperative lease contracts (Boonyabancha, 2009).

For the case of Mumbai, a house is assumed to be individual property while land is communal. In this city, land is a very scarce resource and the government is very strict while assigning land to residents. Land allocation is undertaken via the Slum Rehabilitation Scheme, where land transfer occurs at the society level, instead of individual level. Closer tenure system is applied in the Favela Barrio Program, Rio de Janeiro - Brazil, where slum upgrading devoid of full land tenure legalization is applied integrating a state of use of exception for the concession of usage rights but not full ownership of the land which allows the upgrading program to occur (UN-HABITAT, 2008).

Greater emphasis has been placed by the program on improvement of infrastructure and living conditions instead of the land tenure legalization. However, during the implementation of the Favela Barrio Program, these effects were felt on top of increasing the security of tenure of the residents (Otsuki, 2011).

In South Africa, lack of security of land tenure was a key factor that affected the setting up of Soweto slums with people engaging in illegal land acquisitions combined with the housing problems and various risks linked to land ownership leading to the development of informal and unplanned settlements (Baker, 2008). The informal land occupation in Kenya occurs through illegal, exploitative and exceedingly lucrative informal and corrupt land allocation. The projected demand for urban housing in Kenya is 150,000 units a year, but the country is struggling to deliver the basic housing for the urban poor and those households with modest income (Njoroge, 1998).

In most African Countries, sixty percent of the urban population live in slums and most of it is on informally held land. This can be ascribed to the inappropriate and insufficient urban land policies, poor land management and administration, and very poor framework of governance. In most countries, majority of traditional land regulations, standards and procedures have proven ineffective in averting informal land acquisitions and settlements. This is the reason why most African countries (Algeria, Botswana, Burkina Faso, Egypt, Ethiopia, Ghana, Guinea, Kenya, Madagascar, Malawi, Sierra Leone, South Africa, Southern Sudan, Tanzania,

Tunisia, Uganda and Zimbabwe), are actively engaged in land policy reforms (UN HABITAT, 2009). The Land Policy Initiative has generated a revived interest in land policy development and implementation within Africa, with some being observed as more consultative, an indication that some will offer better outcomes than others. The success of Baan Mankong Program in Thailand secure housing is contributed mainly to the security provided from the dreaded evictions (Booyabancha, 2007).

More than 14 African countries have effected formal types of land tenure different from the individual freehold titling which was the only formal land tenure in the past, including Benin, Tanzania, Mozambique, Ethiopia and Zambia. Some of these, such as Lesotho, have introduced into the statutory environment the customary land tenure systems. Some, like South Africa, have made their laws stronger protecting people in land occupation from being evicted. Others like Mozambique, Uganda, Ghana and South Africa have also formalized some group rights in land ownership. Others like Tanzania have effected co-ownership or co-tenancy in land tenancy to guarantee women acquisition of equal rights to land. Numerous others like Kenya, South Africa, Tanzania, Mozambique and Namibia have commenced policy processes, some taking many years and being extremely cautious and consultative (African Union, 2009).

From experience, even though land titling is the clearest and strongest instrument to deliver land tenure security, it doesn't need to be the individual property rights. In Kenya, the national government implemented the National Land-Use Policy in combination with the National Spatial Plan to guide and control the future growth of slums in a bid to improve the livelihoods of slum dwellers. There has been revisions of the National Land Policy to recognize the land ownership rights for the slum dwellers arising from the acknowledgement that the informal settlements arise owing to the lack of land tenure and improper planning. The land policy avails a framework for addressing land administration, land access, planning for land use, historical land injustices and sustainable usage which protects from environmental degradation (Government of Kenya, 2010).

The challenge demanding to be urgently addressed so as to establish comprehensive slum upgrading interventions, is the fact that many of the upgrading programmes in informal settlements focuses only on housing enhancements at the expense of other slum livelihood factors. Majale (2002) observes that apart from housing improvements, the socio-economic

development of the urban poor should also be prioritized in slum upgrading. Bell (1993) found that slum upgrading programmes ought to assimilate behavioural aspects of the slum residents to ensure project sustainability. Sherlocks (1999) observes that for poverty alleviation in the informal settlements to be achieved, security of tenure is vital. The Global Campaign for Secure Tenure (www.unhabitat.org/tenure.htm, 2009) made a similar view asserting that tenure security is the foundation upon which promotion of human rights rests, while UNCHS (Habitat, 1996) acknowledged home-ownership as an opportunity in the promotion of freedom and identity.

In a similar viewpoint, De Soto (1989), found bureaucracy to be the greatest obstacle to acquisition of the security of land tenure. This is more so for the poor who are exposed to drawn out, expensive and exhausting procedures in the process of buying a property or registering a business. UNCHS Habitat, (2001), observed that active participation of the target beneficiaries is a requisite for effective slum upgrading, a viewpoint that led the United Nations (2001) to emphasize the essential role of political will for the successful upgrading process. Other authors have indicated the value of transport as central to the livelihood improvements of the slum residents.

Land tenure insecurity is an impediment to the efforts of improving the prevailing housing conditions for the urban poor, undermining planning in the long-term, and distorting the land and services prices. It direct affects accessibility to basic services in the urban areas, settlement level investments, leading to reinforcement of poverty and social exclusion levels. It have a more negative effect on women and children. From the government viewpoint, insecure land tenure has a negative effect on tax recovery rate from the local property taxation and on the economic activities within the area. Additionally, lack of proper identification of the beneficiaries of urban services makes it harder or impossible to implement the recovery of costs for services and infrastructures (Field *et al.*, 2006).

According to Otiso (2003) security of land tenure is not guaranteed and could impede the improvement of the slums to be better places where slum dwellers enjoy their rights to good housing conditions. This literature confirms that slums upgrading programs should encompass other expressed needs of the society that are vital for holistic livelihood improvement such as security of tenure, infrastructure and cultural aspects on top of the housing improvements.

## 2.6 Funding and the Implementation of Slum Upgrading Program

Once a project has been approved, adequate funds must be made available to meet its requirements as per the implementation plan. Gulyani (2008) highlights the following prerequisites for successful project implementation: timely availability of funds, adequate project formulation, sound organization of the project, and appropriate implementation plans.

The role of UN HABITAT in slum upgrading is to assist in the mobilization of resources for the program, whether financial or others, comprising of donor agencies liaison, and cooperation with the government in establishing a Trust Fund referred to as: 'The Slum Upgrading and Low Cost Housing and Infrastructure Fund'. The stakeholders MoU indicates that the programme is the responsibility of the GoK including executing and managing financial and material resources towards attainment of the objectives, (UN-HABITAT, 2008).

According to KENSUP (2005), the GOK total budget for the execution of KENSUP 2005-2020 is Ksh. 884 billion. It is crucial to have these resources available, which can't be achieved without a positive economic climate, a political climate that is stable, and corruption free environment. According to the UN-HABITAT (2008), the national government is expected to cultivate the enabling environment for slum upgrading activities for success, which encompasses the regulatory, funding and institutional frameworks for the alleviation of urban poverty and enhancement of the slum upgrading prospects. There also exists a scope for the mobilization of funds placing slums as a key national priority.

The following are the reasons for declined donor support in slum upgrading since 1990 according to Otsuki (2011). According to him, the donor organizations have other upper funding priorities hence there are difficulties for the slum upgrading project to sustain a requisite high visibility in the long-term that a funding country might require. Housing programs are highly complicated and sluggish than many other programs that a donor country can fund, hence most donors tend to avoid these programs for the more simple ones. Another reason is that donor countries desire short-term results and given that housing programs take longer and are riskier to implement than other types of programs, they are more likely to be avoided. The international housing programs lack a large funding constituency in the donor countries while other programs have an active constituency hence are given the priority, such as funding for HIV/AIDS. There is a decline in donor funding for the housing development as

these projects are hard to successfully implement, they attract land tenure and political issues, and the donor countries fails to maintain focus on the long-term goals and prefers the various short-term goals leading to the decline in slum upgrading funding (Otsuki, 2011).

The problem of coordination deficiency in project funding within the developing countries has been observed by numerous bilateral and multilateral lenders. Stakeholders have unsuccessfully tried to synchronise lending for slum upgrading programs with multilateral lenders. There is therefore a need for the establishment of improved coordination mechanism for funding loans in the developing countries. The corporation further notes that substantial funding and technical assistance for the developing countries comes from a large number of donor countries. Conversely, since 1990, in the case of funding slum upgrading or housing development, only a few developed countries offer significant financial and technical support to developing countries, which is dramatically declining in recent years (Otsuki, 2011).

Touwen (2001) observed that many 'southern' NGOs and other private development groups would fall in a year was foreign aid to be stopped as they fully depend on external aid, both financially and technically. It is now essential to cultivate and test local resources generation strategies as the competition for scarce donor funds intensifies. It might take long, even decades, to gain self - reliance, but at times the efforts made might attract the external donors who may intervene with assistance.

A new global facility within the UN-HABITAT's Human Settlements Financing Division located at the UN global headquarters in Nairobi, Kenya has been formed dubbed the Slum Upgrading Facility (SUF), with the principal objective being to mobilize local or domestic capital towards slum upgrading undertakings within cities in developing countries (UN-HABITAT 2005). This objective is achieved by offering assistance to the local actors and attractively packaging financial, technical, and political elements in the development projects. SUF main clients are the city authorities, civil and non-governmental organizations, various departments of the national government, and the local private sector comprising of retail banks, housing finance institutions, micro-finance institutions, property developers, utility companies and other services providers.

The facility was established in 2005 to respond to the General Assembly Resolution AJ56/206 of 2001, with the purpose of strengthening the United Nations Habitat and Human Settlements Foundation. It comprises of a small team of domestic and international financial institutions and financing models specialists with a task of seeking out and creating domestic savings and capital mobilization mechanisms directed towards affordable housing development, and develop a link between financial institutions and the normative and technical collaboration activities of the UN-HABITAT. This necessitates the establishment of fresh funding instruments and institutional collaborations with financial institutions, authorities and the communities, in a bid to ensure that banks finance these projects devoid of distortion of their operating principles.

A key strategy in slum upgrading programs is encouraging the projects to integrate enhanced effectiveness in their usage of housing public subsidy. Through the presentation of fresh rules on UN Human Settlements & Habitat Foundation, the agency would be able to offer financial support to the eligible developing countries' slum upgrading initiatives. This will be done through provision of loans for particular purposes such as seed capital, loan guarantee or equity investment in projects so that they are able to leverage domestic capital (UN-HABITAT 2005).

There still are considerable challenges in the accessibility of domestic capital as a main financing source in slum upgrading projects. Some of these challenges include: insecure land tenure, increasing construction costs causing low affordability, lacking credit history for the urban poor, and the real and perceived risk of lending to the poor is very high. Only institutional and policy reforms, which consumes a considerable amount of time and effort, can address these challenges. The UN-HABITAT's Human Settlements Financing Division has been offering advisory support to the Government of Kenya in restructuring its prevailing housing incentive system (UN-HABITAT 2005).

### 2.7 Theoretical Framework

Many approaches to social change have been advanced by various scholars dealing with the social structures in the urban housing sector hence many approaches have been advanced. The study focus is the slum residents as the key party in the slum upgrading program hence the approach of choice is participatory in nature. The reason is so as to attain long-lasting development results or sustainable projects, there is consensus that the participatory approach

is the best option (Mikkelsen, 1995). The study uses 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.

### 2.7.1 The Participatory Approach

The study adopted the participatory approach since the project beneficiaries consisting of the residents of the slum were the chief stakeholders in the slum upgrading programs. Third Kenya Human Development Report, (2004) indicated that the reason behind this is that the participation warrants integration of stakeholders' perceptions, attitudes and values. For successful sustainable development, it is essential to ensure stakeholders participation. The involvement of urban poor and other groups in planning and project implementation contributes to equity. This is due to the fact that participation occurs in different levels, including aspects of nonparticipation, informal or participating indirectly, consultation, shared and full control. The participation quality is however dependent on not only the level but the degree of participation intensity.

There are potential benefits to be derived from increased participation. The programs ought to create institutional and legal frameworks decentralizing processes allowing the people more involvement in decision making on issues affecting their lives so as to realise greater benefits. At suitable levels, projects ought to increase the autonomy at local levels and participation in making key decisions, resource mobilization for project implementation, and usage of human, financial and technical resources, and the development of local enterprise, in the general structure of a national social, economic and environmental strategy.

The vital element of participatory development is the achieving the peoples' potential through enlargement of their capabilities by people empowerment, facilitating active involvement in personal development. Members of a community deliberates, plan, listen, and make their decisions seeking solutions to their problems in conjunction with their local authorities and other stakeholders who are relevant. So as to satisfy their potential, people, particularly the vulnerable and underprivileged, have to actively partake in the establishment and maintenance of autonomous organizations who represent their welfares based on country's constitution.

The people focused strategy therefore initiates procedures that lead to community centred housing programs. Thus, candid involvement instigated and managed by the people themselves is a key democratic process goal. The participatory theory was applied in Kibera East 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 (Otiso, 2003). The participatory theory has its shortcoming of failing to capture the vast, varied and rich stakeholders' capabilities in the process of slum upgrading. The mode of involvement taken is greatly affected by the general circumstances and unique social contexts under which action is taken. To encompass all this, the study also used the stakeholders approach.

### 2.7.2 Stakeholders Approach

Stakeholders Approach involves inclusion of all stakeholders involved in the program starting with the most important, the benefiting community followed by the private developers, the societal organizations/cooperatives, the local authorities, the central government, and funding partners. The approach is built on the premise that all stakeholders are main beneficiaries and as a result, ought to be the initial position of departure. This is due to the fact that the entirety of project activities purpose to generate dialogue with all stakeholders and acquire the necessary information via the convenient communication methods (Mikkelsen, 1995). However, this approach has been criticized basically on the drawbacks of representation and delegation where people who might have limited familiarity with the topic, sluggish in making decisions leading to compromises that don't represent the best decisions in any way. In this approach, acceptance is dependent on the confidence stakeholders have on those who are delegated. Care is needed in this approach to warrant that all pertinent issues are accurately understood. The approach should permit expression of a full array of views and efforts to be undertaken by those with appropriate expertise and understanding to allow the project to more rapidly move forward.

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 primary project purpose of satisfying bottom 40th percentile (Mitullah, 1985). Views posited by Mamunji (1982), indicates that slum dwellers' efforts ought to be recognized for having very scarce resources and hence attract application of minimum standards. 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 residents don't necessarily possess the shelters they live in. Majority of the residents rent the shelters 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.

## 2.8 Study Conceptual Framework

The conceptual framework identifies the concepts under study and their relationship presenting the hypothesized model (Mugenda & Mugenda, 2003). The effects of the various factors (independent variables) on the implementation of the slum upgrading projects was tested. The framework presented in this section presents a representation of the relationships being investigated in the study.

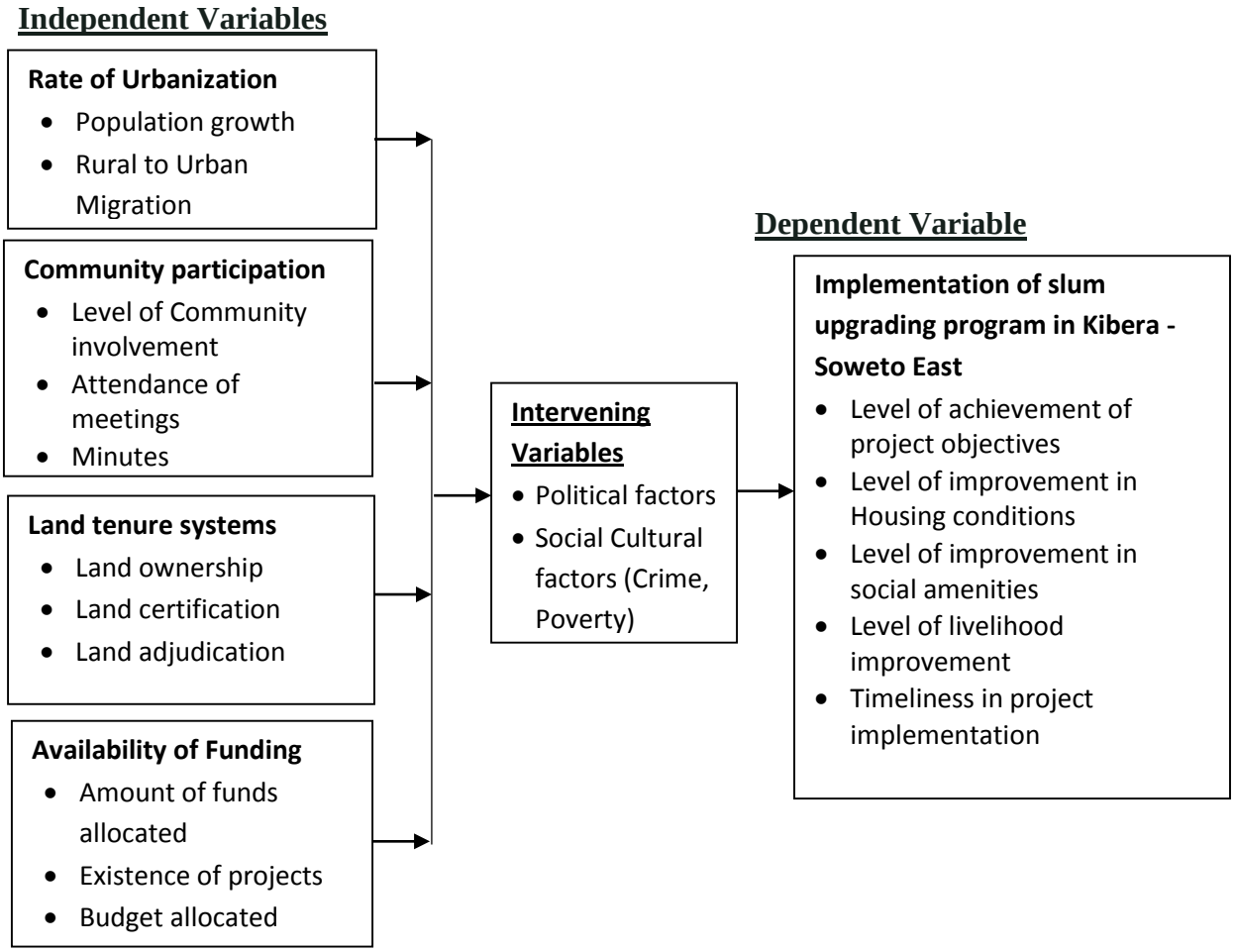


**Figure 2.1: Conceptual Framework**

This conceptual framework was created based on the premise that the rate of urbanization, level of community participation, land tenure system and availability of funding affects the implementation of Kibera slum upgrading projects undertaken by KENSUP. The rate of urbanization, community participation, land tenure system, and availability of funding are considered as the independent variables which influences the implementation of slum

upgrading program in Kibera as the dependent variable. However, the study also takes cognisance of the intervening variables existing within the model where political factors and social cultural factors are considered as intervening this relationship. The study sought to review these factors in a bid to bring more understanding on the phenomena.

### 2.9 Knowledge Gap

This chapter has expounded on the empirical and theoretical literature related to this study, which centres on project implementation features and more so within slum upgrade programme. The common thread which runs through issues explored in this chapter is the notion that project implementation is a complex process which faces multiple challenges that if not well managed would strain the process. The review has uncovered the fact that very many studies have been done on project implementation, more so on barriers and challenges leading to the failure along the way. However, despite the slum upgrade programme having been ongoing for more than a decade, no studies have been done to assess the factors affecting its implementation process of its various projects. The reviewed studies brought out the effects of urbanization, community participation, land tenure system, and availability of funding in similar situations with the observation that these factors influence implementation of similar projects. The study, therefore, sought to understand whether these factors (urbanization, community participation, land tenure system, and availability of funding) influence the implementation of slum upgrading projects in Kibera, Nairobi.

### 2.10 Summary

The literature review was through analysis of journals, unpublished articles, books and conference notes on human settlement. An analysis of past studies to generate specific information on slums upgrading projects in developing countries was done with particular focus on ongoing Kenya Slums Upgrading Project. The key constraints identified for the study include: urbanization and its influence on slums upgrading programmes; community participation; funding of slums upgrading projects, security of land tenure and land tenure policy. The conceptual framework highlights the causal effects of these independent variables on the overall slums upgrading programmes.

# CHAPTER THREE

# RESEARCH METHODOLOGY

## 3.1 Introduction

Chapter three is structured into various sub sections such as the research design, the target population, the sampling procedure, demographic composition of the sample, research instruments, measurement of variables, pilot testing, and the data collection and analysis procedures. The chapter presents the research methods adopted within the study.

## 3.2 Research design

The research design has been defined by Kothari (2008) as a comprehensive strategy of carrying out the research, whereas Cooper and Schindler (2011) defines it as a blueprint for the collection, measurement and analysis of information and data within limited resources so as to address various research questions. Therefore, this study chose to adopt the descriptive research design. This research design has been defined by Mochal (2003) as the research design allowing one to explore and describe phenomena in an everyday situation. A descriptive design depicts the precise profile of people, occasions and situations (Mutai, 2000).

In addition, the application of descriptive research design is sought when the information on a current state of a person, object, or situation is being sought (Kothari, 2008). According to these researchers, descriptive research design is appropriate as it offers precise account of the characteristics of specific persons, situations and groups, and is therefore suitable in the study to assess the factors influencing the implementation of slum upgrade programs.

## 3.3 Target population

A population is defined by Mugenda and Mugenda (2003) as a complete set of individuals, cases or objects with common observable characteristics. Following this definition, the study targeted population includes all the beneficiaries of the Slum Upgrading program. The targeted location is Soweto East in Kibera Slums, where according to a report authored by Anderson and Mwelu (2014), both of KENSUP, revealed that there are 600 beneficiaries of the slums upgrading programme at Soweto – Kibera Slums who make up the primary study population. The project also targeted the project implementation teams at KENSUP involved in the study region.

### 3.4 Sample Size

Sampling has a purpose of advancing an appreciation of the population features or traits based on the sample characteristics. Therefore, the study adopted the deliberate sampling method, also known as the convenient sampling, within the population of 600 beneficiaries. Kothari, (2004), views this as a sampling method involving acquiring a sample from a readily available and convenient fragment of the study population. The study proposed the sample size be determined by use of a Taro Yamani formula since it is simple to use; it is scientific and can be used in cases of large populations, (Sekaran, 1992).

$$n = \frac{N}{1 + N(e)^2}$$

Where: n = sample size; N = population size;

e = level of precision or margin of error at 5% (standard value of 0.05).

Thus, the Taro Yamani formula was used in sample size calculation realizing a sample that is representative for the population of 600 beneficiaries, where the sample size was got as:

$$n = \frac{600}{1 + 600\ (0.05)^2} = 150$$

Therefore, the representative sample of the study comprised of 150 beneficiaries. Additionally, the study sought information from project officers from KENSUP as key informants who informed the study on some aspects of the variables being assessed. On this aspect, the study targeted 8 project officers from KENSUP posted at the study area of Soweto East, Kibera.

### 3.5 Sampling Procedure

For this study, systematic random sampling approach was used. It is one of the types of probability sampling methods where the members of a representative sample are selected from the population from a random start point and a fixed periodic interval. The interval, popularly referred to as the sampling interval, is arrived at by dividing the study population by the sample size. There are two housing blocks in the upgraded units, each block has four floors and four houses in each floor. The study targeted every head of the $8^{th}$ household as respondent. By utilizing randomization concept, this technique of sampling guarantee an equal opportunity for selection for every household. It also guarantee lack of both systematic and sampling biases thus certifying the sample to be fully representative of the study population.

### 3.6 Methods of data collection

Going by views posited by Mugenda & Mugenda (2003), many data collection methods exists. The characteristics of the study subjects, the framing of the research topic and research problem, research objectives, design, expected data and results are all factors that ought to be considered in order to arrive at the ultimate choice of the data collection tool and instrument. This is due to the fact that each tool or instrument is design so as to collect a specific type of data. This research sought to collect the primary data, i.e. information gathered directly from respondents, through issuance of questionnaires as the tool of choice. This tool was appropriate in this study because its validity and reliability was evaluated through a pre-test before being administered, thus ensuring accuracy and minimizing bias.

The questionnaire tool was created in such a way that it offered various sections and sub-sections to adequately capture all the information informing each of the study objectives and each section contained both structured and unstructured questions. Structured questions are that that offer the respondent a multiple choice format providing various answers from which to choose the appropriate one. Unstructured questions are the open ended ones which offer the respondent freedom of response to the subject matter.

In order to wholly meet the study objectives, secondary data was sought so as to supplement the information in the primary data. This involved collecting and analysing the available published materials and information from various sources such as annual reports, journals, organizational websites, newspapers, and published materials to get the secondary information.

#### 3.6.1 Piloting Testing

According to Cooper &Schindler (2010), conducting a pilot test in a study allows for detection of any weaknesses in project design and instrumentation, and aids in coming up with an alternative data for the probability sample selection. Its purpose is to assess the appropriateness and accuracy of the research design adopted, the research process followed and in the sample selection. Therefore, a pre-test needed to be undertaken which offered a first revision of the study instruments. The rule of thumb is that the pilot test should involve 5% of the study sample (Cooper &Schindler, 2011, Creswell, 2003). This led to the pilot survey undertaking on the beneficiaries of the slum upgrading project within Soweto East, Kibera, whose outcomes were then studied, making it possible to modify, delete or update some variables as desired.

### 3.6.2 Reliability of the Study Instruments

The reliability of study instruments refers to the degree to which the measuring instruments applied in the study offer results or data that is consistent upon repeated trials (Mugenda and Mugenda, 2003). One of the most popular reliability test technique is the test -retest method which was applied to assess the study reliability. Going by views posited by Mugenda and Mugenda (2003), the test retest assessment involves administration of the same tool twice to the same group or subjects while keeping constant the initial conditions after few weeks. Upon getting the test outcomes, one ought to analyse this information by correlating the scores to obtain the correlation coefficients where high correlation indicate that the instrument is able to yield the requisite data with test – retest reliability. Test – retest assessment was undertaken with the aid of SPSS version 20 statistical tool from data collected from 10 respondents in Soweto east slum where the slums upgrading programme is being undertaken.

### 3.6.3 Validity of the Study Instruments

According to Mugenda and Mugenda, (2003), project validity refers to the degree the obtained results of the study represent the phenomenon being studied. It shows the accuracy of the adopted measuring instruments to measure the intended variables. Orodho (2004) defines validity as the extent a measuring instrument is able to deliver sufficient topic coverage or simply put, the weight of the instruments have in the research. Usage of in-depth tools enabled the further probing by researcher based on the respondents' answers.

The study subjected the pilot study data to a Cronbach's alpha test, a popular data reliability coefficient giving unbiased estimate, (Zinbarg, 2005). According to Sandros, Lewis and Thornhill (1996), before a questionnaires is used to collect data, it ought to be tested for validity. The reason for pilot testing was defining the queries that study respondents would not have problems answering and recording this data. Additionally, it enables the assessment of the individual questions, as well as the validity and reliability of data collected. Bell (1994), observed the existence of a temptation of a researcher to dive directly to the questions, but however hard pressed for time one is, there is need to give the questions a trial. Pilot studies are referred to by Sekaran (1992) as the preliminary analysis of one or more facets of the research design.

### 3.7 Operationalization of Study Variables

**Table 3.1: Operational definition of variables**

| Research Questions | Variables | Indicators | Measure-ment | Scale | Data Collection | Type of analysis |
|---|---|---|---|---|---|---|
| How does urbanization affect the implementation of Kibera slum upgrading programme | Urbanization | Population growth<br>Rural to urban Migration | Likert Scale<br>Ratio | Nominal / Ordinal | Literature review<br>Questionnaires<br>Interview guides | Descriptive<br>Inferential |
| What is the influence of community participation on the implementation of Kibera slum upgrading programme | Community participation | Community organization<br>Positive development | Likert Scale | Nominal / Ordinal | questionnaire | Descriptive<br>Inferential |
| How does land policy affect the implementation of slum upgrading programme? | Security of land tenure | Land ownership<br>Land certification<br>Land adjudication | Likert Scale | Nominal / Ordinal | Frequency<br>Frequency | Descriptive<br>Inferential |
| How does project funding influence the implementation of Kibera slum upgrading programme | Slum upgrading cost | Availability of funds allocated<br>Existence of projects<br>Budget allocated | Likert Scale<br>Ratio | Nominal / Ordinal | Observation<br>Interviews<br>Questionnaire | Descriptive<br>Inferential |
| Implementation of slum upgrading programme in Kibera | SUP Implementation | Improved Housing conditions<br>better social amenities<br>Quality of life improved | Likert Scale<br>Ratio | Nominal / Ordinal | Observation<br>Interviews<br>Questionnaire | Descriptive<br>Inferential |

### 3.8 Ethical Consideration in the Study

The study assured confidentiality to the study participants, especially the respondents, disclosing the true purpose of the study and affirming that the study was made for sole purpose of the accomplishment of goals within the academic realm. Additionally, all the information sourced from other scholars was acknowledged and voluntary consent was sought among all the respondents who participated in the study. Permission was sought from relevant authorities and letters granting permission to carry out the research were also sort. This study also borrowed from secondary data that had been published in accordance with accountability measures.

# CHAPTER FOUR

# DATA ANALYSIS, PRESENTATION AND INTERPRETATION

## 4.1 Introduction

Chapter four offers a presentation of the results of data analysis, discussing the study findings with regards to the data collected from the respondents who were beneficiaries of the Slum Upgrade Program. The chapter commences with the section presenting the response rate and the respondents' demographic information. The other sections cover the various factors influencing implementation of Slum Upgrade projects, culminating with a chapter summary. The study utilized SPSS in undertaking the analysis which was combined with MS Excel to present the frequencies, means and standard deviation in a presentable manner using tables.

## 4.2 Response Rate

The study sought information from a sample of 150 beneficiaries of the Slum Upgrade Program from whom primary data was to be collected but only managed to collect data from 131 respondents, though the accessed respondents were 138, but 7 of the respondents gave back an incomplete response hence couldn't be considered. Outcomes of this analysis are as presented in Table 4.1.

**Table 4.1: Study Response Rate**

| *Population Segment* | *Sample Size* | *Number of Respondents* | *Response Rate* |
|---|---|---|---|
| *SUP Beneficiaries* | 150 | 131 | 87.33% |
| *KENSUP Project Officers* | 8 | 7 | 87.50% |

The researcher managed to interview 131 out the targeted 150 respondents from the targeted sample. This gave a response rate of 87.3%, with only 13% of the target respondents failing to respond to the questionnaires. A further 87.5% response rate was realized among the targeted KENSUP project officers. This is a sufficient response rate able to inform the study objectives, meeting the sufficient threshold set by Mugenda and Mugenda (2003) of at least 70% response.

### 4.3 Respondents' Demographics

This section offers a demographic review of the study respondents with regards to their gender, age, education achievements, and the period lived in Kibera Slums, in a bid to understand the reliability of the information they offered. These aspects were considered based on their meaningful contributions they make in the provision of understanding of the logic in each of the responses offered by the each of the study respondents.

This study considered the gender representation in the population in a bid to have a gender profile of the respondents, who ideally were the household heads. The gender representation among the respondents who took part in this study was as shown in Table 4.2.

**Table 4.2: Gender of the respondents**

| *Gender* | *Frequency* | *Percentage* | *Valid Percentage* |
|---|---|---|---|
| Male | 57 | 43.5% | 43.5% |
| Female | 74 | 56.5% | 56.5% |
| Total | 131 | 100% | 100% |

As presented in Table 4.2, the gender of the respondents who were engaged in the survey are as indicated. The study results show that majority of the respondents (who are the heads of households sampled) were observed to be female (56.5%) with the male respondents making up 43.5% of the respondents. The male respondents were expected to be more as they are mainly the heads of the household but given that the data was collected during the day, majority of male household heads were not available at the time of collecting the data, though some of these households have women as the head of the household. This shows that the study was not gender biased, as it sought information to the targeted respondents irrespective of data.

The study also considered the age structure of the respondents. It can be used to inform whether the respondents are able to offer reliable information and have reached the desired limit (given the nature of information sought, the respondent had to be an adult and preferably the head of the household). The distribution of the respondents along their age in the study is shown in Table 4.3.

**Table 4.3: Respondents age**

| Age gaps | Frequency | Percentage | Valid Percentage |
|---|---|---|---|
| Below 18 Years | 0 | 0% | 0% |
| 18- 30 Years | 14 | 11% | 11% |
| 31- 40 Years | 30 | 23% | 24% |
| 41-50 Years | 55 | 42% | 44% |
| Above 50 Years | 26 | 20% | 21% |
| Missing | 5 | 4% | |
| **Total** | **131** | **100%** | **100%** |

It was observed that majority of the respondents had an age of above 40 years (65%) with only 35% being below 40 years. However, none of the respondents was below 18 years of age. This is understandable as the target respondent was the head of the house hold whose average age lies within the 'above 40 years' mark. This confirms that the study acquired information from the desired target respondent and that the study acquired reliable information.

A look at the respondents education achievement revealed that majority had achieved lower than 'primary level' (43%), with a significant proportion indicating that they have 'no formal education' (27%). This is the expected education achievement outlay of the targeted group as these are residents of Kibera Slums where the dwellers are expected to have 'none' to 'low' education achievement. These outcomes are presented in Table 4.4.

**Table 4.4: Project beneficiaries' education achievement**

| Education Level | Frequency | Percentage | Valid Percentage |
|---|---|---|---|
| No Formal Education | 34 | 26% | 27% |
| Primary | 54 | 41% | 43% |
| Secondary | 30 | 23% | 24% |
| Tertiary | 9 | 7% | 7% |
| Missing | 5 | 4% | |
| **Total** | 131 | 100% | 100% |

The study looked at the period the respondents have stayed within the project area, Soweto East – Kibera in a bid to understand the beneficiaries' location and forms of occupancy within the project, therefore support the ownership details. Table 4.5 shows the outcomes of this enquiry.

**Table 4.5: Length of respondents stay in Kibera**

| Period | Frequency | Percentage | Valid Percentage |
|---|---|---|---|
| Below 5 years | 11 | 9% | 9% |
| 5-10 Years | 19 | 14% | 15% |
| 11-15 Years | 43 | 33% | 34% |
| Above 15 Years | 53 | 40% | 42% |
| Missing | 5 | 4% | |
| **Total** | 131 | 100% | 100% |

A look at the length of stay of the project beneficiaries in Kibera revealed a key irregularity in the target respondents. The project commenced nearly 15 years ago, since the project phase 1 was launched back in 2004, but only 42% of the respondents had been residing in Soweto East – Kibera back then. This shows that a very small proportion of the upgrading project target beneficiaries end up benefiting in the program (primary beneficiaries were supposedly the residents of Kibera Slums). More than 58% of the respondents moved into Kibera slums after the commencement of the upgrading program. This explains the high number of respondents who indicated that they live within the premises as tenants having rented.

These outcomes were linked with the findings made on the issues of occupancy as presented in Table 4.6 where it was found that majority of the project beneficiaries that the study found living within the project are tenants living in the building as rented premises (54%) while only 20% of the interviewed beneficiaries were owner occupied. Another 18% of the respondents indicated other forms of occupancy such as inheritance from parents hence the 18% can be combined within the owner occupied portion.

**Table 4.6: Mode of occupancy among the beneficiaries**

| Mode of Occupancy | Frequency | Percentage | Valid Percentage |
|---|---|---|---|
| Owner Occupied | 25 | 19% | 20% |
| Rental | 67 | 51% | 54% |
| Housed by Friend or relative | 10 | 8% | 8% |
| Other (Explain) | 22 | 17% | 18% |
| Missing | 7 | 5% | |
| **Total** | **131** | **100%** | **100%** |

The study also looked at the livelihood of the project beneficiaries by enquiring of their income levels and expenditures. This information was vital in assessing the level of influence the project brought to the residents of Soweto East – Kibera. The outcomes of this assessment are as presented in Table 4.7.

**Table 4.7: Beneficiaries' monthly income**

| Household Income | Frequency | Percentage | Valid Percentage |
|---|---|---|---|
| Ksh. 0-10,000 | 69 | 53% | 56% |
| Ksh. 10,001-20,000 | 34 | 26% | 27% |
| Ksh. 20,0001- 50,000 | 17 | 13% | 14% |
| Above Ksh. 50,000 | 4 | 3% | 3% |
| Missing | 7 | 5% | |
| **Total** | **131** | **100%** | **1%** |

It was observed that the average income of the residents is Ksh. 10,219, though majority of the residents (56%) earns less than Ksh. 10,000 per month as income. This is an indicator that the livelihood of the people has greatly improved as findings presented in Table 4.8 indicates that they do live within their means. It was observed that the residents spend 9,942 per month on the basic needs which is slightly below their household income, an indication that the respondents spent less than their income levels on basic commodities. This confirms that there is some improvement in the livelihood of those benefiting from the program. Housing, which takes up the largest portion of expenditures in most parts of Nairobi region isn't the largest expenditure but rather education is the largest.

**Table 4.8: Beneficiaries average expenditures (on basic commodities)**

| Basic Needs | Amount in Kshs. |
|---|---|
| Food | 2,674 |
| Housing | 2,180 |
| Health | 820 |
| Clothing | 1,114 |
| Education | 3,154 |
| **Total Expenditures** | **9,942** |

A look at the level of maintenance of the houses since implementation was found necessary in the study and the outcomes presented in Table 4.9 indicates the state of maintenance of the housing projects.

**Table 4.9: Post project implementation houses maintenance**

| Rate of house maintenance | Frequency | Percentage | Valid Percentage |
|---|---|---|---|
| This Month | 1 | 1% | 1% |
| Last 12 Months | 4 | 3% | 4% |
| Last 2 Years | 13 | 10% | 14% |
| Never | 79 | 60% | 81% |
| Missing | 34 | 26% | |
| **Total** | **131** | **100%** | **100%** |

The study observed that majority of the respondents (81%) agreed that they have never undertaken maintenance practices for their houses. A further 14% of the respondents undertook house maintenance in the last 2 years, 4% in the last 12 months, and 1% maintained their houses this month. From these findings, the study observed that the houses maintenance in the project is rarely undertaken, mainly due to the fact that the houses are relatively new for the users.

### 4.4 Slum Upgrading Project Implementation

The study needed to assess the level of KENSUP project implementation through enquiring of the accessibility to amenities, timeliness of completion, and rating of the perception of the beneficiaries on various issues related to project implementation.

The study assessed the availability of various amenities to the project beneficiaries in the area. The respondents were asked of the presence of various amenities in their area and were asked to offer the distance from the closest amenity, and offer a four point Likert scale rating where 1 is the lowest rating and 4 is the highest rating. The outcomes of this enquiry are as presented in Table 4.10.

**Table 4.10: Presence of amenities in the program**

| **Presence of Amenity in the Program** | Yes | Average Distance to Amenity per group agreeing | No | Average Distance to Amenity per the group disagreeing | Amenity Condition - Mean rating (Based on 4 Point Likert scale) | **N** |
|---|---|---|---|---|---|---|
| Schools | 61% | 0.83km | 39% | 2.16km | 3.29 | 127 |
| Health facilities | 22% | 1.37km | 78% | 3.94km | 1.88 | 126 |
| Government offices | 34% | 1.13km | 66% | 3.29km | 2.09 | 127 |
| Police (Security) | 17% | 0.93km | 83% | 1.98km | 1.24 | 124 |
| Water | 100% | | 0% | Available but erratic | | |
| Sanitation/ drainage programs | 82% | N/A | 18% | N/A | 2.14 | 126 |
| Roads | 76% | N/A | 34% | N/A | 3.06 | 126 |
| Electricity | 100% | N/A | 0% | N/A | 2.69 | 124 |
| Shops | 100% | 0.15km | 15% | 0.75km | 3.54 | 127 |
| Social Halls | 71% | 0.26km | 29% | 1.42km | 2.33 | 122 |
| Children play area | 44% | | 56% | | | |

It was observed that according to majority of the respondents, the following amenities are readily available to the residents within the KENSUP project: Schools (61% - 0.83 kilometres away, though none was provided within the project, respondents indicated that schools were readily available within the neighbourhood); roads (76%); shops (85% of residents – 0.15km away); water (100% agreed there is water available but adversely affected by rationing); 82% agreed that there is good sanitation within the program, but lack of sanitation within the neighbourhood caused 18% to question availability of sanitation; 71% of the respondents agreed that a social hall is available in the project; and electricity (100% of the residents). Key observation was that the amenities that majority of the respondents agreed of their availability were those that were near them and have been able to use. Others such as: government offices (not available to 66% of respondents and 3.29km away); police (83% cant access, they are 1.98 km away, though respondents indicated presence of security at the gates of the project); and children play area (inaccessible to 56% of respondents, most children play within parking lots as there is no available space for this purpose). This shows a gap in the project implementation that the program failed to address. Health and children play area as key needs seem to have been neglected, and further solutions have not been availed. This confirms that though the main

project construction has been fully implemented and handed over to the beneficiaries, there is still areas that the implementing team haven't looked into, hence the project implementation isn't complete.

Further observations indicated that majority of the respondents residing in the project felt that the project was not completed in time (67%), as shown in Table 4.11 below. One of the respondents observed that the pace of implementation was so slow that she didn't think the planned upgrade would ever be completed, hence was happy to enter the building upon completion.

**Table 4.11: Project completion time**

| ***Was the project completed in time?*** | ***Frequency*** | ***Percentage*** | ***Valid Percentage*** |
|---|---|---|---|
| Yes | 41 | 32% | 33.3% |
| No | 83 | 63% | 66.7% |
| Missing | 7 | 5% | |
| Total | 131 | 100% | 100% |

The study also looked at the effects of the program implementation of slum upgrading project by seeking the perception of the respondents on some aspects of the project implementation such as improvement in housing conditions, beneficiaries' livelihood, timeliness, and achievement of project objectives. These outcomes are as presented in Table 4.12.

**Table 4.12: Slum upgrading project effects**

| **Rating of slum upgrading effects** | **1** | **2** | **3** | **4** | **Mean Rating** |
|---|---|---|---|---|---|
| Extent of improvement in housing conditions | 0% | 13% | 24% | 63% | 3.50 |
| Extent of influence on beneficiary livelihood | 8% | 14% | 27% | 52% | 3.25 |
| Extent of agreement with the statement: KENSUP projects are delivered in time | 49% | 30% | 11% | 10% | 1.82 |
| Achievement of objectives or promises made to beneficiaries by KENSUP | 9% | 18% | 25% | 48% | 3.12 |
| Achievement of the project objectives in the Soweto East project (KENSUP Project Officers Views) | 0% | 0% | 25% | 75% | 3.75 |

It was found that the level of improvement in housing was rated at 3.5 on a 4 point likert scale, with majority of the respondents (63%) rated highest the improvement in living conditions, an indication that the improvement was great. This was because the beneficiaries moved from the slum's poor housing conditions into a better modern housing with access to more amenities, and the respondents felt this impact in their living conditions. The influence on beneficiaries was observed to be rated highly by the respondents as majority of the respondents (52%) agreed that the project has positively influenced their livelihood (and a mean rating of 3.25 indicate a 3.25 rating in a 4 point Likert scale). However, the issue of timely delivery of the projects was greatly denied by the respondents. Majority (49% - mean 1.82) of the respondents greatly disagreed that KENSUP projects are delivered in time, confirming an earlier observation that the project completion was very much delayed.

When the question of project objectives achievement was posed among the project beneficiaries and the project implementing officers, the beneficiaries gave it a rating of 3.12 out of 4.0, an indication that the project doesn't fully meet all the beneficiaries expectations, though meets the expectations of majority of the beneficiaries. However, a higher rating (3.75 out of 4.0) was observed among the project officers which indicated presence of a higher perception of the achievement of project objectives among the KENSUP officers. This indicates that the project officers feels that they have achieved the project objectives.

Majority of the project officers (87.5%) were also found to indicate that they were pleased with the progress of the project as shown in Table 4.13. The study observed that only 12.5% of the project officers indicated their dissatisfaction with the progress of the project indicating that the dissatisfaction stems from the poor funding process which has been delaying the program implementation and causing unnecessary delays.

**Table 4.13: Project officers and project progress**

| ***KENSUP Project Officers: Are you pleased with the progress of KENSUP project?*** | ***Frequency*** | ***Percentage*** | ***Valid Percentage*** |
|---|---|---|---|
| Yes | 7 | 87.50% | 87.50% |
| No | 1 | 12.50% | 12.50% |
| Total | 8 | 100% | 100% |

### 4.5 Government and Donor Funding

The study sought to understand the government and donor funding issues in the project. They enquired of various issues related to government and donor funding in the project and found the following outcomes discussed in this section.

The study sought to understand the level of awareness among the project beneficiaries on the government and donor funding. From the assessment as presented in Table 4.14, the study found that though a majority of the respondents are aware of the project funding plans, a significant proportion (38%) of them lacks awareness of the project funding.

**Table 4.14: Awareness of project funding plans**

| ***Beneficiaries awareness of Government & Donor Funding*** | ***Frequency*** | ***Percentage*** | ***Valid Percentage*** |
|---|---|---|---|
| Aware | 77 | 59% | 62% |
| Not Aware | 47 | 36% | 38% |
| Missing | 7 | 5% | |
| **Total** | **131** | **100%** | **100%** |

The study also assessed the satisfaction levels of the project officers at KENSUP on project funding. Table 4.15 presents the outcomes of this assessment.

**Table 4.15: Satisfaction level of KENSUP officers with project funding**

| **Project officers satisfaction with project funding** | | | |
|---|---|---|---|
| **Rating** | **Frequency** | **Percentage** | **Valid Percentage** |
| Very satisfied | 31 | 24% | 25% |
| Satisfied | 49 | 37% | 40% |
| Lowly satisfied | 25 | 19% | 20% |
| Unsatisfied | 19 | 15% | 15% |
| Missing | 7 | 5% | |
| **Total** | **131** | **100%** | **100%** |

Majority of the respondents were either very satisfied (25%) or satisfied (40%) with the project funding. However, a significant proportion of the project officers (35%) are unsatisfied with the funding plans within KENSUP. Parts of the project officers indicated that the delays in project completion is blamed upon the delays in project funding. One of the officers indicated that ‘there is this uncertainty on when more funds would be availed to undertake certain project activities’, even though the program is ran as a state institution. This finding indicates presence of some form of uncertainties in project funding.

A look at the various issues related to project's government/ donor funding were posed on the project officers and beneficiaries. The following outcomes presented in Table 4.16 were observed. The rating was based on a 4 point Likert scale where 1 was the least rating and 4 the highest rating.

**Table 4.16: Rating of government or donor funding in the project**

| Rating on a 4 point Likert scale with 4 as highest rating and 1 the lowest rating | 1 | 2 | 3 | 4 | Mean Rating |
|---|---|---|---|---|---|
| Beneficiaries perception rating of sufficiency of government/donor funding | 6% | 5% | 22% | 64% | 3.47 |
| Beneficiaries rating of timeliness of the government/donor funding | 6% | 14% | 42% | 38% | 3.12 |
| Project officers' perception rating of sufficiency of government/donor funding | 0% | 0% | 25% | 75% | 3.75 |
| Project officers' rating of timeliness of the government/ donor funding | 13% | 25% | 38% | 25% | 2.75 |

The study found that the sufficiency of government and donor funding was rated highly by the beneficiaries (mean 3.47 out of 4.00) and project officers (mean 3.75 out of 4.00). This indicates that the project officers and the beneficiaries are in agreement that the funding offered were sufficient. When enquired of the timeliness of the funding, a lower rating was observed among the project officers than was observed among the beneficiaries, with beneficiaries rating it 3.12 while project officers rated the timeliness at 2.75 out of a 4.00 rating. This confirmed that the project funding was not that timely, even though sufficient.

### 4.6 Community Participation

The study looked at the level of community participation in the slum upgrading program where various issues related with community participation in the program were assessed. One key query that was enquired was the issue of involvement of beneficiaries in slum upgrading projects whose outcomes are presented in Table 4.17. It was observed that only 42% of the respondents felt that they were involved in the slum upgrading project. One respondent observed that the government failed to involve them in determining the rent rates and the cost isn't affordable for many of the residents who would wish to move to 'the promised land' as they usually calls it.

**Table 4.17: Satisfaction level of KENSUP officers with project funding**

| *Were you involved as a beneficiary in the slum upgrading project?* | *Frequency* | *Percentage* | *Valid Percentage* |
|---|---|---|---|
| Yes | 53 | 40% | 42% |
| No | 73 | 56% | 58% |
| Missing | 5 | 4% | |
| **Total** | **131** | **100%** | **100%** |

When the project officers were asked of their views on the level of community participation in the slum upgrading project, a significant proportion 25% indicated that they lack awareness of these facts while a further 25% indicated that community participation was within the low-medium levels. However, half of the project officers felt that there was a high level of community participation in the project.

**Table 4.18: Project officers rating of level of community participation**

| Project officers rating of communities' participation in the slums upgrading project | | |
|---|---|---|
| | **Frequency** | **Percentage** |
| High | 4 | 50.0% |
| Medium | 1 | 12.5% |
| Low | 1 | 12.5% |
| None | 0 | 0.0% |
| Not Aware | 2 | 25.0% |
| **Total** | **8** | **100.0%** |

The study looked at the rating of various issues related to community participation in the slum upgrading program. The outcomes presented in Table 4.19 shows results for this assessment with a 4 point Likert scale with 1 as the least rating and 4 as the highest rating.

**Table 4.19: Community Participation Rating**

*Rating of Community Participation on a 4 point Likert scale with 4 as highest rating and 1 the lowest rating*

| | 1 | 2 | 3 | 4 | Mean Rating |
|---|---|---|---|---|---|
| Extent slum upgrading has been felt by community | 5.5% | 19.2% | 34.9% | 40.4% | 3.102 |
| Proper attention was given to community participation at the project planning stage | 21.8% | 10.6% | 38.9% | 28.7% | 2.745 |
| Full involvement of the beneficiary community in the slum upgrade projects | 28.6% | 31.4% | 19.8% | 20.2% | 2.316 |
| Perception of whether slum upgrading project made a positive change among the beneficiaries | 3.3% | 16.6% | 34.0% | 46.1% | 3.229 |

The study found that majority of the respondents rated highly the statement that slum upgrading program has been felt by the community (mean 3.102) and the perception that slum upgrading project made a positive change among the beneficiaries (mean 3.229). However, the respondents had a lower rating on statements related to community participation such as their rating of "proper attention was given to community participation at the project planning stage" – (mean 2.745); and, "full involvement of the beneficiary community in the slum upgrade projects" – (mean 2.316). From these findings, it is observed that community participation was not that well undertaken within the project.

An enquiry of the stage at which beneficiaries would want to be involved in the project implementation process was undertaken and the outcomes are as presented in Table 4.9. It was observed that majority of the respondents would want to be involved in the program in all stages of the project (55%), though a significant proportion (26%) would want to be involved at the planning stage, 19% at the implementation stage and 0% in handover stage. At the project handover stage is where most of the decisions about the beneficiaries are made such as the costs of the housing units and the amenities they are to be provided and other key decisions. Despite the importance of the project handover stage, other than the 50% who want to be involved in all stages, none of the project beneficiaries indicated that they would like to be involved the project specifically at this stage.

**Table 4.20: Point at which community participation is undertaken**

| At what stage would you like the government to involve the community? | Frequency | Percentage |
|---|---|---|
| Planning/initial stage | 33 | 26% |
| Along the implementation | 24 | 19% |
| Project hand over | 0 | 0% |
| All stages | 69 | 55% |
| **Total** | **126** | **100%** |

### 4.7 Land Tenure

Land tenure was one of the factors considered to influence slum upgrading project implementation. Going by the secondary data collected from KENSUP, majority of the land ownership is held by the project beneficiaries in conjunction with the Nairobi County Government. The study observed that land adjudication was one of the reasons the project implementation lagged behind. The study enquired of land tenure issues in the KENSUP program whose outcomes are presented in Table 4.21.

**Table 4.21: Land tenure in KENSUP program**

| | 1 | 2 | 3 | 4 | Mean Rating |
|---|---|---|---|---|---|
| **Contentment with security of tenure offered by the housing scheme implemented by the KENSUP** | 76.3% | 14.7% | 9.0% | 0.0% | 1.327 |
| **Contentment with the terms of the lease agreement/ tenant purchasing scheme offered by KENSUP project** | 58.2% | 31.9% | 8.6% | 1.3% | 1.530 |

From the assessment, the study found that the project beneficiaries rated very lowly the: 'contentment with security of tenure offered by the housing scheme implemented by the KENSUP project' (mean 1.327); and, 'contentment with the terms of the lease agreement/ tenant purchasing scheme offered by KENSUP project' (mean 1.530). These low ratings confirms the discomfort of the project beneficiaries in issues related to the land tenure. It is an indication that the KENSUP project needs to do much more so as to ensure that the beneficiaries are more contented with the land tenure system adopted for the project.

### 4.8 Rate of Urbanization in Nairobi County

Urbanization was also considered as one of the factors influencing project implementation in the slum upgrade program. From secondary data accessed from KNBS systems, population growth in Nairobi grows at an annual rate of 4.05%, which is a high rate compared to other cities in the world with the proportion of the population that is urban estimated as 32.3% which has an annual change of 1.8%. This data is as presented in Table 4.22.

**Table 4.22: Kenya urbanization data 1960 – 2040 projection**

| Period | Urban Proportion | Urban population growth rate | Annual change in urban population |
|---|---|---|---|
| 1960-70 | 9% | 7% | 3% |
| 1970-80 | 13% | 8% | 2% |
| 1980-90 | 17% | 5% | 2% |
| 1990-2000 | 19% | 4% | 1% |
| 2000-10 | 21% | 4% | 1% |
| 2010-20 | 32% | 4% | 2% |
| 2020-30 | 30% | 4% | 2% |
| 2030-40 | 37% | 4% | 2% |
| **Average** | **22%** | **5%** | **2%** |

Source: UN – Habitat and KNBS

The study sought to understand whether urbanization influences project implementation and the findings made are as presented in Table 4.23 where the respondents rated the extent of influence on a 4 point Likert scale where 1 was the lowest rating and 4 the highest rating.

**Table 4.23: Rating of the extent of urbanization influence**

| Rating on a 4 point Likert scale with 4 as highest rating and 1 the lowest rating | 1 | 2 | 3 | 4 | Mean |
|---|---|---|---|---|---|
| Extent high urbanisation rate affected KENSUP project implementation | 53% | 33% | 12% | 2% | 1.63 |
| Extent rural - urban migration affect project implementation | 38% | 42% | 17% | 3% | 1.85 |
| Extent both urbanization and rural - urban migration affect future project implementation | 32% | 28% | 18% | 22% | 2.30 |
| Implication of urbanization in project implementation | 62% | 22% | 13% | 3% | 1.57 |

From the assessment, the study observed that the extent of urbanization rate influence in project implementation was rated very lowly (mean 1.63). Similarly, rural urban migration was observed to be rated lowly on its effects on project implementation (mean 1.85), urbanization and rural - urban migration effect on future project implementation (mean 2.30) and the urbanization in project implementation (mean 1.57). This shows that urbanization has very low

influence on project implementation. This finding was confirmed in the key informant interview where the project officer observed that: "urbanization is a very important factor considered during the project conception, proposal, and planning stage, where it affects most aspects of the project such as design, target beneficiaries, construction materials, labour sought among other factors. Beyond this stage, urbanization is usually kept in the periphery and is never considered during project implementation stage as all aspects of this factors have to be integrated in the project plan prior to implementation. Urbanization can therefore be seen as a key 'pre' consideration that is not useful during implementation and hence doesn't affect the project implementation process." The project officer therefore indicated that the urbanization factor does not affect the process of project implementation at all, though the project must consider it at the early stages during planning.

### 4.9 Inferential Statistics

The study sought to undertake a quantitative analysis that involved a correlation and a regression analysis to assess the relationship between the factors. This involved undertaking a correlation analysis which revealed the link between the study variables showing how the factors affect each other. The correlation coefficient of the study is as presented in Table 4.24.

**Table 4.24: Correlation Coefficients**

| **Correlation between KENSUP project implementation against funding, community participation and land tenure** | | |
|---|---|---|
| **Project funding** | Pearson Correlation | .124* |
| | Sig. (2-tailed) | .020 |
| | N | 126 |
| **Community participation** | Pearson Correlation | .233* |
| | Sig. (2-tailed) | .045 |
| | N | 126 |
| **Urbanization** | Pearson Correlation | .094 |
| | Sig. (2-tailed) | .133 |
| | N | 126 |
| **Land tenure** | Pearson Correlation | -.192** |
| | Sig. (2-tailed) | .000 |
| | N | 126 |
| ****. Correlation is significant at the 0.01 level (2-tailed).**<br>***. Correlation is significant at the 0.05 level (2-tailed).** | | |

The study found that project implementation has a statistically significant positive correlation with project funding (r = 0.124; p = 0.010). This is to imply that project funding and project implementation are correlated 12.6% of the time when other factors are held constant. The other factor of community participation (r = 0.233; p = 0.045) indicated statistically significant positive correlation coefficient. On the other hand, land tenure (r = -0.192; p = 0.000) was found to have statistically significant negative correlation coefficients. The significant correlation coefficients have the implication that the more emphasis laid upon project funding, community participation, and land tenure; the greater the chances that the firm will acquire higher levels of project implementation. However, urbanization indicated very low correlation coefficient which was not statistically significant (r = 0.094; p= 0.133), an indication that the project is not statistically significant at the set 0.05 level (2-tailed). This is an indicator that urbanization lacks any correlation with project implementation, an early indication of a (speculative) lack of relationship between the two factors.

The inferential analysis also involved a regression analysis summary consisting of a correlation and a coefficient of determination, ANOVA and model specification statistics. The study's main objective was to determine the factors affecting project implementation. This relationship was determined by carrying out a regression analysis on project funding, community participation, urbanization, and land tenure as the independent variables and the level of project implementation as the dependent variable. The outcomes of this analysis produced the outcomes presented in Tables 4.25, 4.26, and 4.27.

**Table 4.25: Regression Analysis Summary**

| Model | R | R Square | Adjusted R Square | Std. Error of the Estimate |
|---|---|---|---|---|
| 1 | 0.695[(a)] | 0.483 | .216 | .5317 |

a Predictors: (Constant), project funding, community participation, urbanization, and land tenure

Table 4.13 discusses the regression model summary. It was observed that the study model showed a high correlation coefficient of 0.695. This is an indication that there is a defined relationship between project implementation and factors such as project funding, community participation, urbanization and land tenure. This view was further enhanced when a high coefficient of determination ($R^2$) of 0.483 was realized which indicates that the study

independent variables (project funding, community participation, urbanization, and land tenure) can be able to explain 48.3% of the variability in the dependent variable (project implementation), which gives the indication that project implementation is influenced by project funding, community participation, urbanization and land tenure and their impact is statistically significant.

An ANOVA of the study model was carried out to further investigate this link and the following outcomes of the study are presented in Table 4.26.

**Table 4.26: ANOVA Test**

| Model | Analysis | Sum of Squares | df | Mean Square | F | Sig. |
|---|---|---|---|---|---|---|
| 1 | Regression | 1.327 | 3 | .442 | 1.108 | .029[(a)] |
| | Residual | 11.173 | 123 | .399 | | |
| | **Total** | **12.500** | **126** | | | |

a) Predictors: (Constant), project funding, community participation, urbanization, and land tenure

b) Dependent Variable: Project implementation

The study carried out an analysis of variance (ANOVA) to test the variability between project funding, community participation, urbanization, and land tenure presented in Table 4.26. According to outcomes presented, the p-value (sig.) was 0.029 ($P<0.05$) indicating that these factors have statistically significant influence on KENSUP project implementation at 95% confidence level. This confirms that the ability of project funding, community participation, urbanization, and land tenure to influence project implementation as observed in goodness of fit model (model summary) is statistically significant. A further analysis on the relationship gave off the outcomes presented in Table 4.27 showing the regression model coefficients.

**Table 4.27 Regression Coefficients**

| Model | Variables | Unstandardized Coefficients | | Standardized Coefficients | t | Sig. |
|---|---|---|---|---|---|---|
| | | B | Std. Error | Beta | | |
| 1. | (Constant) | .699 | .148 | | 3.457 | .000 |
| | Project funding | .036 | .194 | .031 | 2.382 | .024 |
| | Community Participation | .134 | .206 | .206 | 2.124 | .033 |
| | Urbanization | .039 | -.224 | -0.193 | 1.113 | 1.065 |
| | Land tenure | .021 | .013 | .131 | 2.985 | .004 |

a) Dependent Variable: KENSUP project implementation

The information contained in table 4.27 reveals the results of the regression analysis model. According to the findings, project funding (0.036, p=0.024); community participation (0.134, p=0.036), and land tenure (0.021, p=0.004), influence project implementation since their relationship were observed to be statistically significant. However, urbanization indicated a non-statistically significant coefficient (0.039; p=1.065) indicating a poor relationship between project implementation and urbanization. Therefore, the regression model indicates that the relationship between the independent variables (project funding, community participation, and land tenure) and the dependent variable (project implementation) are the ones with statistically significant regression coefficients and a constant of 0.699 indicating that they have an influence on project implementation. The regression model of this relationship is presented as:

$$\boldsymbol{PI = 0.699 + 0.036\ PF + 0.134\ CP + 0.021\ LT + 0.039\ UR + \varepsilon}$$

Where **PI**= Project Implementation

**PF** = Project funding

**CP** = Community participation

**LT** = Land Tenure

**UR** = Urbanisatzation

**ε**= error term

Therefore, we can confirm that project funding, community participation, and land tenure have an influence on project implementation. From the model above, community participation was found to have a higher impact on slum upgrading project implementation than funding and land tenure, highlighting the value of participation in a community project. There is therefore a direct linkage between project implementation and project funding, community participation, and land tenure.

# CHAPTER FIVE

# DISCUSSION OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

## 5.1 Introduction

Chapter five consists of three key sections, namely, discussion of findings, conclusions and recommendations. The first section offers a discussion of the findings, and then the study conclusions based on the findings for each of the research objective. The last sub-section provides the study recommendations, and culminates with the suggestions for further studies.

## 5.2 Summary of Findings

This study sought to assess various factors influencing the slum upgrading project implementation in Soweto East, Kibera. Information sought towards informing this objective was from the project beneficiaries and KENSUP project officers involved in project implementation, from whom an adequate response rate was acquired. From the study demographics, the study confirmed lack of bias in the various social factors such as gender, age, or education, though there was an observed irregularity as majority of the beneficiaries were not living within Soweto East, Kibera, at the time the project was commencing (15 years ago) which was also linked to the observation made on mode of occupancy where it was observed that majority of the project beneficiaries (living within the project) have rented their apartments, unlike the expectation that majority of the apartments would be owner occupied. The beneficiaries were also found to be able to meet their needs as their monthly income was found to be relatively higher than their monthly expenditures on basic commodities, an indicator of improvement in their livelihoods. The project also found that the maintenance regime for the apartments has been very rarely undertaken, though somehow linked to the fact that the apartments are new with some having been occupied for less than 5 years.

The study considered the status of the slum upgrading project implementation by considering the level of achievement of project objectives, level of improvement in housing conditions, level of improvement in social amenities, level of livelihood improvement, and the timeliness in the implementation process. From this assessment, the study found that the amenities that ought to be included in housing projects were availed, such as water, electricity, drainage and sanitation, roads (cabro walk ways in the estate), social halls, and shops. However, the housing

development failed to offer otherwise important amenities to the residents such as children play area where children were observed to mostly use car parks as the play area. School as a key amenity was not provided in the project, but there are many schools close to the project, hence availability is high, though other key amenities like health facilities, government offices, and police stations were not provided to the residents yet they are very far for the beneficiaries. The study also observed that majority of the respondents failed to accept the timeliness of the project with most observing that the project took too long to complete hence was not delivered in time (mean rating 1.82/4.00). However, upon completion, the beneficiaries claim that the project: improved their housing conditions (mean rating 3.50/4.00); influenced their livelihoods (mean rating 3.25/4.00); objectives / promises made to beneficiaries were met (mean rating 3.12/ 4.00); and project objectives were met (mean rating 3.75/4.00). Majority of the project officers involved in the slum upgrade indicated that they were pleased with the progress this far.

The study further looked at the funding aspect of the program which came from the government and donors as a key factor influencing implementation of the project, which was assessed by looking at funding issues in the project. The study observed that most of the KENSUP project officers were satisfied with the funding they received. It was further observed that the issues of funding were highly rated indicating that the project officers had minimal funding related issues. The respondents indicated that the funding was sufficient (mean 3.47) and timely (mean 3.12) to the project beneficiaries, and sufficient (mean 3.75) but moderately timely (mean 2.75) for the project officers.

In relation to community participation, the study found that majority of the respondents were not fully involved in the project implementation, with some pointing out the issue of monthly rent set for the apartments which some observe that it is relatively high for them to afford. However, majority of the project officers rate highly community participation in this program. The respondents indicated that they felt that slum upgrading has been felt by the community (mean 3.102), attention was given to community participation at project planning stage (mean 2.745), and project made a positive change among the beneficiaries (mean 2.316); though they were rated at a moderate level the statement that there was ‘full involvement of beneficiary community in the project (mean 2.316). Community participation was found to have a higher

impact on slum upgrading project implementation than funding and land tenure, highlighting the value of participation in a community project. Majority of the respondents would want to be involved in all stages of the project implementation process, though some indicated preferences of at which point they would like to be involved in the project, some planning and others implementation, and none in the hand over stage.

Land tenure was also considered a key factor in project implementation and the project sought a bit of information related to land tenure in the project. Given that majority of the beneficiary respondents were occupying the apartments as tenants, some of the information sought was bound to be skewed. The respondents indicated very low rating when they were required to rate their contentment with security of tenure offered in the scheme (mean 1.327) and terms of lease/ tenant purchasing scheme offered (mean 1.530). Respondents indicate uncertainty on the land tenure with fears that they might be evicted from the buildings over the years when they don't legally own the land the project was set up upon.

Urbanization was also considered as a factor influencing project implementation where the study found that Nairobi has a very high rate of urbanization with the urban population being observed to be rapidly rising over the years since independence. The study looked at the rating of urbanization factors where their influence on project implementation was rated very lowly. Urbanization rate (mean 1.63) and rural - urban migration (mean 1.85) effects on project implementation was touted to be very minimal by the respondents. One key informant drove this point home by observing that urbanization is a key consideration at the project planning stage and not project implementation stage.

To assess the influence of these factors on project implementation, the study undertook inferential analysis using correlation and regression models. The correlation model indicated a relationship between project implementation and factors such as funding, community participation, and land tenure. However, the relationship between project implementation and urbanization were questioned since the factor indicated non - statistically significant correlation coefficient. This finding was confirmed in the regression analysis where urbanization indicated low, non-statistically significant coefficient. However, the regression analysis confirmed presence of a relationship between project implementation and funding, community participation, and land tenure. The study therefore confirms that improvement in

project funding, community participation, and land tenure have a significant influence on project implementation.

### 5.3 Discussion of Findings

Project implementation is a complex process which faces multiple challenges that if not well managed would strain the process. Key problem is the fact that the challenges of project implementation changes with the aspects within which the project is being implemented. Lack of information on some aspects of project implementation has been observed in many situations leading to the failure of the implementation process. This study sought to offer understanding of the nature of factors one faces when undertaking a slum upgrading project in Kibera slums and assess these factors influence on implementation. The slum upgrading project has been ongoing for more than a decade and has stagnated in some instances and resumed after some time, and its implementation is still ongoing. From the assessment, the study observed that the housing project was successful in some aspects but failed in others. The study observed that the project succeeded in achieving most of its objectives, improving housing conditions, availing some of the social amenities (failed to provide some), and improving beneficiaries livelihood, but failed in delivering all these in a timely manner. Given the fact that the project aims to counteract the growth of Kibera Slums, the project timely delivery is very important, hence the findings by UN-HABITAT (2015) that "efforts to reduce the number of slum dwellers or improve their living standards are neither adequate nor satisfactory, given that the absolute number of slum residents has continuously increased despite the upgrading efforts". However, the study findings contradicts findings by Anyiso (2013) who observed that the "programme has done very little in changing the livelihood of the slum people and the success of its projects has been very poorly rated". This is due to the high ratings of the impact the project has had on the housing conditions and livelihoods of the project direct beneficiaries, with them indicating higher satisfaction levels with the slum upgrading project implementation.

#### 5.3.1 Funding and project implementation

Funding was considered as one of the factors influencing the process of project implementation. Once approval of a project has been acquired, adequate funds must be made available to meet its requirements as per the implementation plan. In the slum upgrading

program, UN-HABITAT had a role of assisting in mobilizing financial, technical and human among other resources required in implementing the programme. From the analysed data, majority of the project officers were satisfied with the project funding. Funding was found to be sufficient by both the project officers and beneficiaries, but only the beneficiaries were okay with the project funding timeliness as the project officers indicated lower rating for the timeliness of funding. The study found that the project funding was one of the factors that would lead to delays in implementation of the program. The project was observed to have had faced delays in the implementation process, with delays in funding being one of the possible causes of this delay. KENSUP (2005) indicated that the budget of implementing the slum upgrading program (2005-2020) is Ksh. 884 billion, but the project is far from receiving the whole amount required even though the project is 2 years away from its targeted completion time. The inferential analysis revealed a low positive correlation between project funding and project implementation, an indication of a positive relationship between the two factors. The analysis revealed that funding has positive influence on project implementation. Various studies have indicated challenges KENSUP has faced in accessing funding for the program which has led to problems in project implementation such as UN-HABITAT (2008) and Otsuki (2011), but the study indicates that better funding would lead to improvements in project implementation.

### 5.3.2 Community participation and project implementation

The study looked into the influence of project participation on project implementation. The study found that there were gaps in community participation plans with key project stakeholders, the beneficiaries, indicating that they were not consulted throughout the project implementation process. The study found that majority of the beneficiaries would want to be involved in all the project stages from the inception to the hand over stages. From the assessment, the study found a link between community participation and project implementation, where a positive correlation and regression coefficients were found, indicating that community participation positively influences project implementation. Community participation was found to have a higher impact on slum upgrading project implementation than funding and land tenure, an indication that more community participation is desirable for better project implementation. This is unlike the observations by Boonyabancha, (2009) who observed that involving the community strongly is not

recommended as it affects the planning and design of programs, thus a balance should be sought. This study proposes more involvement of the community in the implementation of the project for improved project delivery. The World Bank (2008) proposes full stakeholders participation so as to ensure there are roles and responsibilities are well clarified for all project stakeholders, including the beneficiary communities, private sector, governments, and NGOs.

### 5.3.3 Land tenure and project implementation

The study hypothesised that land tenure influences project implementation of the slum upgrading project. This is a housing project whose primary resource is the land on which it is set – up. From the assessment, most of the land is held by the project beneficiaries in conjunction with the Nairobi County Government in joint land ownership, hence disputes findings by Otsuki (2011) that most slums arise on public land that is either owned by the national or local governments or on leasehold. Respondents rated lowly the current land tenure system within the project with security of tenure and terms of lease or tenant purchasing scheme indicating their uncertainties in these aspects. From the analysis, the study found that land tenure systems do affect the project implementation in the slum upgrading program, with land tenure system being observed to have a significant influence on project implementation. Similar findings were reported by Otiso (2003) who observed that where security of land tenure is not guaranteed, it impede the improvement of the slums to be better places where slum dwellers can enjoy their rights to good housing conditions. Therefore, the study concludes that the land tenure systems influence slum upgrading project implementation

### 5.3.4 Urbanization and project implementation

Kenya is facing rapid population growth, just like other developing countries, especially within the urban areas. The study found that the Kenyan urban population grows at a high rate of 4.04% per annum and has been a key factor in the growth of slums within the country. This is one of the factors that UN-HABITAT observes as the greatest contributor to the growth of Kibera slums despite the interventions of the slum upgrading program. However, the respondents observed that urbanization is a pre-consideration area during the project inception stage and not a key factor during the project implementation stage. Urbanization and rural urban migration were lowly rated as factors that should be considered during the project implementation stage. This factor was made clearer through the inferential analysis where it

was observed that both the correlation and regression coefficients of the relationship between urbanization and project implementation were not statistically significant and hence confirming that there is no relationship between the two factors. It can therefore be concluded that urbanization has no significant relationship with project implementation. These findings are in contravention of outcomes reported by Moraes and Abiko, (2007) who indicated that urbanization is the driving force of slum upgrading projects and encompasses the whole process. The study observed that despite urbanization being the driving force and the motivation behind the development of the slum upgrading programs, the factor moves to the periphery in the project implementation process and has little or no impact.

### 5.4 Conclusions

The study found that funding is one of the factors that influence project implementation in the slum upgrading program in Soweto Kibera. The study observed a satisfaction with the sufficiency of the project funding but a dissatisfaction among the project implementing team of the funding timeliness. Resources mobilization for a project being implemented is a continuous undertaking (especially for the slum upgrading program which was very large and had multiple funding sources through government, donors and other investors which led to the formation of a trust fund). A positive correlation coefficient and regression coefficient which were observed to be statistically significant leading to the conclusion that there is a relationship between funding and project implementation, and that funding influences the implementation of the slum upgrading project in Soweto East, Kibera. This led to the conclusion that improvement in project funding would significantly improve the implementation of the slum upgrading program.

The study further found that community participation is an important factor in the implementation of slum upgrading program. Community participation is a very important undertaking in project implementation especially in a housing program since the program must be able to accommodate the beneficiaries' views in their plans so that the beneficiaries can accept the houses upon project completion. The study found that though there was efforts to ensure community participation was injected into the project implementation, majority of the beneficiaries were never involved in the project, hence they feel their voices were not considered in the project implementation. Majority of the beneficiaries would prefer to be

involved in the program at all stages throughout the implementation process so as to ensure that all the roles and responsibilities are established for all participants and clarified. The study confirmed a positive relationship between community participation and project implementation where a positive and statistically significant correlation coefficient was realized in the assessment. Further findings confirmed that community participation influences project implementation where a positive and statistically significant regression coefficient was realized in the regression analysis confirming the influence. The study found that improvement in the level of community participation would lead to improvement in project implementation of the slum upgrading project. From these findings, the study conclude that community participation has a positive influence on project implementation.

The study further considered the influence of land tenure in project implementation. The basic resource in the slum upgrading project is the land on which the housing project is implemented. Issues arising in this land, especially due to lack of trust in the land tenure would lead to delays in project implementation and lack of success in achieving project objectives. The study found that the respondents rated lowly the current land tenure systems within the project with some expressing fears of future evictions if the problem is not rectified by being made more legally binding. From the inferential analysis, the study confirmed presence of a statistically significant relationship between land tenure system and project implementation, and that land tenure have an influence on project implementation. The study found that improvement in the security of land tenure system would lead to improvement in project implementation.

Urbanization is widely accepted as the motivation and gauge behind the decision of introducing slum upgrading program. In Kenya, urban population growth has been very high and there were observations of expansion of slums hence the program was introduced to counteract this expansion. However, the study found that urbanization is only considered at the project initiation stage and planning level. The correlation and regression analysis further revealed these discrepancies where it was observed that the correlation and regression coefficients between urbanization and project implementation were not statistically significant. This confirmed that there is no relationship between urbanization and project implementation, and neither did urbanization influence project implementation. The study therefore conclude that

urbanization, though an important consideration in slum upgrading project, has no influence on slum upgrading project implementation.

### 5.5 Recommendations

Funding was confirmed as a very important factor in slum upgrading project implementation, though the study observed that the project faced funding hurdles in its implementation as delays arose from the project funding. Given that the project implementation only has one and a half years to go, sufficient funding should be availed to finish the remaining section of the project in a timelier manner in a bid to ensure that the implementation process runs more smoothly so as to achieve all the set objectives of the program. The study therefore recommend a more timely approach to funding by the project trust, government and donor agencies so as to improve project implementation and fast track its completion in a timely manner.

The study further observed laxity related to community participation especially at the project implementation level. The study found that though there were some level of community participation, especially in providing labour in the project, the involvement of the community when key decisions were being made was very poor and the community was not fully involved, such as in the case of determining the monthly costs for the residents which left many unable to afford to live in the 'promised land'. The study suggests more involvement of the beneficiary communities in the implementation of the slum upgrading project going forward, so as to improve its impact in the community and enhance the implementation process.

The study observed that some sections of the beneficiaries were not contented with the land tenure system adopted for the land ownership in the project. Some arrayed fears of future evictions from the program if the legal hurdles they fear of were not cleared along the implementation process. The study therefore suggests further discussions on land adjudication in the project to bring clarity to the beneficiaries and end doubts that lingers on the land tenure systems. This is expected to affect the planning of the remaining phases of the project as land tenure was found to affect the implementation of the housing project, hence government agencies mandated to oversee the land tenure in the project should move in and ensure the residents and future beneficiaries the security of tenure.

The study further found that Kenya faces very high level of urbanization, which translates to expanding of the Kibera slums despite the efforts put in place to curtail the growth and reduce slums. The study therefore observed that despite urbanization having no influence in the project implementation phase of the slum upgrading program, it should be considered in a bid to plan further expansions of the upgrading program to reach even a larger pool of the beneficiaries if the project was to realize any impact at all. The study therefore recommends the consideration of urbanization rate in the slum upgrading program and expand it beyond the 2020 timeline to be able to realize the desirable impact.

### 5.6 Suggestions for Further Research

There exists a possibility that there are other factors which might be influencing slum upgrading project implementation. Therefore, the study suggests further studies to be undertaken to bring forth all the available factors so as to optimize the understanding of factors influencing project implementation in slum upgrading and hence enhance the delivery of future projects with the consideration of these factors.

With the view that geographical differences exists between different implementation zones of the slum upgrading program, the study suggests an evaluation of this relationship to further bring out the model in varying environmental settings in order to bring out the relationship between these factors further and be able to integrate the model into implementation theories within the housing development sector. Further studies on this relationship in other areas where slum upgrading projects are implemented is thusly recommended.

In a bid to introduce a comparative edge into the findings of this study, the study suggests further studies on factors influencing project implementation to be undertaken within other sectors such as the agricultural sector (improving agricultural productivity projects), in a bid to see which factors exists within these environments and assess the similarities within the factors in a bid to expand the factors influencing project implementation discourse.

## REFERENCES


Anderson M. and Mweru K., (2014). Kenyan Slum Upgrading Programs: KISIP & KENSUP.

Anyiso J., (2013). *Factors Influencing Sustainability of Slum Upgrading Programs, Kibera-Soweto East Upgrading Program, Langata County, Nairobi, Kenya.* Unpublished MA Project. University of Nairobi

Baker J.L. (2008). *Urban Poverty: A Global View*. World Bank, Washington D.C.

Bell J, (1993). *Doing your research project: a guide to first time research in education, health and social sciences.* Open University Press

Boonyabancha, G. (2009). *The Impact of Regulations on the Livelihoods of People Living in Poverty.* Paper prepared for the International Workshop on Regulatory Guidelines for Urban Upgrading, Bourton-on-Dunsmore, and May 17-18, 2001.

De Soto, H (1989). *The Other Path: The Invisible Revolution in the Third World.* IB Taurus, London

Field H., Lasserve. A., Harris S.H., (2006). The Formalization of Urban Land Tenure In developing countries. *Journal of Environment and Urbanization*. 6(2), pp.141-160. Alain DURAND-

Government of Kenya, (2000). *Interim Poverty Reduction Strategy Paper for the period 2000-2003.* Government Printer, Nairobi

Government of Kenya, (2001). *1999 Population and Housing Census Volume I.* Central Bureau of Statistics, Nairobi

Government of Kenya, (2001a) *1999 Population and Housing Census Volume II.* Central Bureau of Statistics Nairobi

Government of Kenya, (2001b). *Economic Survey.* Government Printers, Nairobi

Government of Kenya, (2010) *Economic Survey.* Government Printers, Nairobi

Gulyani, S. (2008). Slum, rental market and its implication for theory and practice. *Journal of World Development*, 36(10), pp. 1916-1937.

Huchzermeyer M., (2008). Slum Upgrading in Nairobi within the Housing and Basic Services Market: A Housing Rights Concern. *Journal of Asian and African Studies*, 43(1). SAGE Publications www.sagepublications.com (Los Angeles, London, New Delhi and Singapore)

International Conference on Spatial Information for Sustainable Development Nairobi, Kenya 2-5 October 2001

Kothari C.R., (2009). *Research Methodology: Methods and Techniques.* 2nd ed. India: New Age international (p) Ltd., Publishers

Kremer M., (2005). *Impact Evaluation for Slum Upgrading Interventions.* SAGE Publications

Maina, M.M. (2013). *Challenges in policy transition: In situ upgrading of informal settlements in Johannesburg and Nairobi*. Johannesburg: University of Witwatersrand.

Majale, M.M. (2002). *Towards pro-poor regulatory guidelines for urban upgrading: A review of papers presented at the international workshop on Regulatory guidelines for urban upgrading.* Held at Bourton-on-Dunsmore, May 17-18, 2001

Mikkelsen B., (1995). *Methods for Development Work and Research: A Guide for Practitioners.* New Delhi, India.

Mochal Y., (2003). *The practice of market and social research: An introduction.* Harlos financial times

Moraes B. and Abiko A. K., (2007). *Dwellers perception using fuzzy logic for slums upgrading.* Dept of Construction Engineering, Escola Polite'cnica, University of Sao Paolo, Brazil

Mugenda, O, M, & Mugenda, A, .G. (2003). *Research Methods. Quantitative and Qualitative Approaches*, ACTS Press: Nairobi.

Mulcahy M. and Ming-Ru C., (2007). *Kibera Soweto east - a case study in slum upgrading.*

Mutai, B.K (2000). *How to Write Quality Research Proposal.* Dept of Agricultural Economic and Agri-Business: Egerton University, Njoro, Kenya

Navarro P.M., (2008). *The Challenges Facing Kenya Slum Upgrading Programme in the Realizing the International Elements of the Right to Housing: A special focus on Kibera slum in Nairobi Kenya.* Institut Für Soziologie, Arbeitsberichte 56 Working Papers. ISSN-1615-8229

Njoroge, A.K. (1998). *An assessment of community participation in neighbourhood development.* Unpublished program paper, Department of land Economics, University of Nairobi

Olima, WHO (2001). *The Dynamics and Implications of Sustaining Urban Spatial Segregation in Kenya - Experiences from Nairobi Metropolis.* A Paper Presented at the International

Seminar on Segregation in the City Held at Lincoln Institute of Land Policy in Cambridge, MA, USA, July 25-28.

Onyango, M., Wasonga,G., Asamba, I., Teyie, P., Abuya, J., Obera, B. and Ooko, E., (2005). *Situation Analysis of Informal Settlements In Kisumu.* Kenya Slum Upgrading Program: Cities without Slums Sub-Regional Program for Eastern and Southern Africa. Government of Kenya and UN-Habitat, Nairobi.

Orodho, J. A. 2005. *Elements of education and social science research methods.* Nairobi: Bureau of Education Research, Kenyatta University.

Otiso, K. M. (2003). *State, voluntary and private sector partnership for the slum upgrading and basic service delivery in Nairobi city, Kenya*. Ohio: Bowling Green University.

Otsuki, K. (2011). *Framing multi-level governance through place making: A case of a Nairobi slum.* United Nations University: Shibuya-Ku.

Pinto G., Mulaku G.C., Mikkelsen B., (1986). *Concepts for PID Improvement.* Working Paper, Department of Geodesy and Geomatics Engineering, University of New Brunswick, Fredericton, Canada.

Rashid, F. S. (2009). Strategies to reduce exclusion among populations living in urban slum settlement in Bangladesh. *Journal of health, population and nutrition.* 4, pp. 574-586.

Sekaran I.I. (1992). *Research methods for Business: A skill building approach*. New York, JohnWiley and sens; Inc.

Sherlocks K. (1999). The role of community in Tourism studies. *International journal of contemporary Hospitality Management*

Sustainable Livelihoods Support Office (DFID), (1999). *Sustainable Livelihoods and Poverty Elimination.* http://www.livelihoods re'infoA.locs/dec99bbfa.htm

Syagga, P. Mitullah W., and Gitau S.K., (2001). *Nairobi Situation Analysis*. A Consultative Report Government of Kenya and United Nations Centre for Human Settlements (Habitat) Nairobi

Syagga, P.M., (2011). *Land tenure in slum upgrading projects*. Nairobi: French institute for research in Africa.

Tayler, K. and Cotton, A. (1993). *Urban Upgrading: Options and Procedures for Pakistan*. Loughborough: The Water, Engineering and Development Centre (WEDC).

Touwen, H. (2001). *Program management: A systems approach to planning, scheduling, and controlling.* 7th ed., New York: John Wiley & Sons, Inc.

UN Habitat (2009). www.unhabitat.org/tenure/tenure.htm. Accessed 14/7/2017

UN-DESA (2006). Agenda 21. United Nations department of economic and social affairs: Division of sustainable development. http://www.un.org/esa/sustdev/documents/agenda21/english/agenda21chapter7.htm; Accessed on 22.04.17

United Nations Centre for Human Settlements. (2002). *Sustainable urbanisation*. Nairobi, See http://www.unhabitat.org/ for further details. Accessed 28/09/2011.

United Nations Human Settlements Programme (UN-HABITAT), (2008). Printed by: UNON Print Shop, United Nations Offices at Nairobi

Wasao, S., (2002). *Characteristics of households and respondents in Population and health dynamics in Nairobi's Informal Settlements.* African Population and Health Research Centre, Nairobi

World Bank and DFID (2002). *An Assessment of Local Service Delivery and Local Governments in Kenya.* World Bank Working Paper

# APPENDICES

## Appendix I: Letter of introduction

Zipporah Abaki
University Of Nairobi
P.O. BOX 61923-00200
NAIROBI

**RE: LETTER OF TRANSMITTAL OF DATA COLLECTION INSTRUMENTS**

This is to inform you that I am undertaking a research study leading to Masters of Art in Project Planning and Management with the University of Nairobi. The study focuses on coping with impediments facing the implementation of slums upgrading programme; a case of Kibera slums upgrading project in Nairobi County Kenya.

When the study is completed, the findings will enable development actors in slums upgrading programme to design models that benefit the poor and slum dwellers intended to benefit from such upgrading programme. Your input is therefore very important and will define the success of this study.

Attached please find a questionnaire that requires you to provide information by answering questions honestly and objectively. You are not required to record your name anywhere and the information provided will be treated with outmost confidentiality.

Yours faithfully,
Zipporah Abaki

**Appendix II: Interview schedule of KENSUP staff who are involved in project implementation of Slum Upgrading Programme**

1. Name of Institution.....

2. Position of respondent.....

3. What are the mandates of your organization in the Slum Upgrading programme?

……
……

4. What achievements has your organization made in improving housing conditions in the slum areas? ……..……
……..

5. To what extent would you say you have achieved the project objectives in the Soweto East project?

- ☐ To a Great Extent
- ☐ To a moderate extent
- ☐ Low extent
- ☐ No extent

6. How do the residents participate in your programmes?
……
……

7. What challenges have you faced in the implementation of the projects?

……
……
……

8. How does your organization respond to these challenges?

……
……
……

9. What are the major costs incurred by your organization in the slums upgrading programme?

10. Are you pleased with the slums upgrading programme? ☐ Yes ☐ No

11. Name any other organization/group/institutions you are aware of that carry out slum upgrading projects in your area?

1.....

2.....

3.....

4.....

12. In a scale of 1-4 how do you rate the communities' participation in the slums upgrading project

☐ 1- High ☐ 2 - Medium ☐ 3 - Low ☐ 4 - None

13. What funding factors provide challenges to the slums upgrading programme

……
……

14. What legal instruments affect the slums up grading programme?

……
……
……

15. Give suggestions on what can be done to improve the implementation of the Slums Upgrading Programme?

……
……
……

**Appendix III: Questionnaire for Soweto East Residents**

Please fill in the questions giving your honest answer and respond to each of the item by putting a tick next to the response applicable.

**1. Background Information**

1. Village …….

2. Indicate the sex of the head of the household

☐ Male ☐ Female

3. Marital status

☐ Married
☐ Single
☐ Divorced
☐ Widowed

4. Indicate highest level of education _

☐ No formal Education
☐ Primary Education
☐ Secondary Education
☐ College Education

5. Indicate the age of the household head

☐ Below 18
☐ 18- 28
☐ 29-39
☐ 39 and above

6. Indicate the number of years lived in Kibera

☐ Below 5 years
☐ From 5 to 10 years
☐ From 11 to 15 years
☐ Over 16 Years

**2. Financial status**

7. Indicate the household's monthly average income in KSh …….

8. How much money do you use per month on?

| | Amount in Kshs |
|---|---|
| Food | |
| Housing | |
| Health | |
| Clothing | |
| Education | |

9. Indicate your mode of occupancy

- ☐ Rental
- ☐ Owner occupied
- ☐ Housed by friend or relatives
- ☐ Other (Explain)

**3. Implementation of slum upgrading project**

10. Has the house ever been maintained (post upgrading)

- ☐ This month
- ☐ Last 12 months
- ☐ Last 2 years
- ☐ Never maintained

11. In comparison to previous conditions, to what extent has the housing conditions in Kibera improved after the implementation of KENSUP?

- ☐ To a Great Extent
- ☐ To a moderate extent
- ☐ Low extent
- ☐ No extent

12. In which ways has slum upgrading project improved the housing conditions in Soweto East, Kibera slum?

……
……
……

13. In comparison to previous conditions, to what extent has the social amenities improved in Kibera improved after the implementation of KENSUP?

- ☐ To a Great Extent
- ☐ To a moderate extent
- ☐ Low extent
- ☐ No extent

14. Indicate availability of the following social amenities in a scale of (1-4) **1 = Yes; 2 = No**

| Amenity | Yes | No | How far from amenity |
|---|---|---|---|
| Schools | | | |
| Health facilities | | | |
| Government offices | | | |
| Police(Security) | | | |
| Sanitation/drainage programmes | | | |
| Roads | | | |
| Electricity | | | |
| Shops | | | |
| Social Halls | | | |

15. What is the condition of these social amenities? In a scale of (1-4) **1 = Excellent; 2 = Very Good; 3 =Good; 4 = Poor**

| Amenity | 1 | 2 | | 3 | 4 |
|---|---|---|---|---|---|
| Schools | | | | | |
| Health facilities | | | | | |
| Government offices | | | | | |
| Police(Security) | | | | | |
| Sanitation/drainage programmes | | | | | |
| Roads | | | | | |
| Electricity | | | | | |
| Shops | | | | | |
| Social Halls | | | | | |

16. In your views, to what extent has the slum upgrade project affected your livelihood as a beneficiary?

- ☐ To a Great Extent
- ☐ To a moderate extent
- ☐ Low extent
- ☐ No extent

17. In which ways has slum upgrading affected your day to day life for the better?

……..……

……

……

……

18. In your view, can you say the project was done in a timely manner?

☐ Yes ☐ No

19. To what extent would you agree that the projects in KENSUP are delivered in time and are well implemented?

- ☐ To a Great Extent
- ☐ To a moderate extent
- ☐ Low extent
- ☐ No extent

20. What were the objectives / promises that the slum upgrading program offered to you as the beneficiary? ……...

……

……

……

…….

21. Looking at the objectives or promises made to you from KENSUP, to what extent would you say they have achieved these objectives/promises?

- ☐ To a Great Extent
- ☐ To a moderate extent
- ☐ Low extent
- ☐ No extent

**4. Government and donor funding**

22. Are you aware of any government agency funding slum upgrading projects?

☐ Yes ☐ No

23. Do you think government/donor funding in slum upgrade is sufficient?

- ☐ Strongly disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly agree

24. In your own opinion, is the completion of planned slum upgrading timely?

- ☐ Strongly disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly agree

25. Please rate the time taken to plan/complete the slum upgrading projects?

- ☐ Less than expected

- ☐ Timely
- ☐ Late
- ☐ Never completed

26. Have you felt the effects of slum upgrading?

- ☐ To a Great Extent
- ☐ Somewhat
- ☐ Very Little
- ☐ Never

**Community Participation**

27. Are you anyway involved in the Kibera Slums upgrading programme?

……
……

28. What are some of the benefits of participating in slums upgrading project in your area

……
……
……

29. Do you think proper attention is given to the project planning stage?

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly agree

30. Do you think the slum upgrading projects has made a positive change in your area?

- ☐ Strongly Disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly agree

31. Please give suggestions on what you think should be done to encourage community participation in slums upgrading
projects……
……
……
…….

32. Do you think government is involving community fully in slum upgrading projects?

- ☐ Strongly disagree
- ☐ Disagree
- ☐ Agree
- ☐ Strongly agree

33. At what stage would you like the government to involve the community?

- ☐ Planning/initial stage
- ☐ Implementation
- ☐ All stages

34. Do you think the upgrading efforts by the government have brought any significant change to living standards of Kibera Community?

☐ To a Great Extent ☐ Somewhat ☐ Very Little ☐ None

**6. Land Tenure**

35. Who possesses the allotment letter/title deed to the developed housing unit?

☐ Beneficiary ☐ Housing developer ☐ Local authority ☐ any other (Specify)……

36. Are you content with the security of tenure offered by the housing scheme implemented by the KENSUP?

☐ Yes ☐ Somewhat ☐ Very Little ☐ No

37. Are you content with the terms of the lease agreement/tenant purchasing scheme offered by KENSUP project?

☐ Yes ☐ Somewhat ☐ Very Little ☐ No

38. State briefly your opinion on what can be done to fasten slum upgrading process

……
……
…….