

**AN ASSESSMENT OF COMMUNITY PARTICIPATION IN SLUM UPGRADING: A  
CASE STUDY OF KOROGOCHO LOCATION, NAIROBI**

**BY**

**IPAMBA EUNICE**

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**DECLARATION**

This thesis is my original work and has not been presented for any study program in any university.

**Name:** Eunice Ipamba

**Reg No.** B63/82111/2012

**Signature** ..... **Date**.....

This research thesis has been submitted for examination with my approval as the university supervisor

**Name:** Dr. Rose Musyoka

**Signature** ..... **Date**.....

**Name:** Dr. Musyimi Mbathi

**Signature** ..... **Date** .....

## **DEDICATION**

I dedicate this research to my loving husband and friend of life, Kenneth Omondi N.

## **ACKNOWLEDGEMENT**

First and foremost, I thank God, the Almighty for granting me this opportunity and the capability to proceed to this level of education.

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May God bless you.

## ABSTRACT

Kenya's development approaches indicate that the country has encompassed development paradigm shifts to echo changes in the global development thinking from technocrat, trickle-down effect strategies of the 1960s and 1970s to more participatory ones in modern times. In spite of these progresses, there is inadequate community participation in the entire process of conception, design implementation and management of public developments. This study sought to assess community participation in slum upgrading, in context of Korogocho slum. The study's key objectives included; establishing the existence of a residents' committee, its structure and role in slum upgrading, assessing the extent to which Korogocho residents were involved in upgrading their settlement, examining challenges of community participation and proposing strategies that can be adopted to enhance community participation. This was a cross sectional study design that administered 400 questionnaires to households and conducted 2 focus groups with SEC members as well as 4 key informant interviews. The findings revealed that: there exists a settlement executive committee whose main role was to act as an intermediary between donors and beneficiaries, the community participated in the inception, implementation, and monitoring and evaluation of the project, the main challenge concerning project awareness by the community stems from the SEC's structure and facilitation issues, and there needs to be more awareness campaigns about the project. The study recommends a policy framework outlining the formation, composition and facilitation of settlement executive committees as well as community participation in all phases of a slum upgrading project. The study recommends further research on different levels of community participation and their impact on all phases of a slum upgrading project.

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## **ABBREVIATIONS AND ACRONYMS**

<b>CBD</b> -----	Central Business District
<b>CBOs</b> -----	Community Based Organizations
<b>CDC</b> -----	Community Development Committees
<b>CDW</b> -----	Community Development Workers
<b>FBOs</b> -----	Faith Based Organizations
<b>KENSUP</b> -----	Kenya Slum Upgrading Programme
<b>KSUP</b> -----	Korogocho Slum Upgrading Programme
<b>MASAF</b> -----	Malawi Social Action Fund projects
<b>MCU</b> -----	Major Cities Unit
<b>PPGIS</b> -----	Public Participation in Geographic Information System
<b>PUI</b> -----	Proyecto Urbano Integral
<b>UNDP</b> -----	The United Nations Development Programme (UNDP)
<b>WC</b> -----	Ward Committees Ward Committees

## **CHAPTER ONE: INTRODUCTION AND CONTEXT OF STUDY**

### **1.1 Background of the Study**

Globally, one in every eight people lives in slums. In total, about 881 million persons live in slum conditions (UN Habitat, 2015). This not only amounts to unacceptable contemporary reality, but to one whose numbers are unceasingly swelling. In spite of great progress in improving slums and preventing their formation, (a decrease from 39 percent to 30 percent of the urban population living in developing countries between 2000 and 2014), the numbers continue to grow, and slum challenge remains a critical factor for poverty persistence in the world (UN Habitat, 2015).

As rapid urbanization takes its peal, so has the expansion and growth of shantytowns. Over 34% of Kenya's total population live in town areas, and of this, more than 71% is curbed in informal settlements (UN Habitat, 2009). UNDP reports that the yearly informal settlements growth rate of 5% is the utmost in the biosphere, and it is likely to double in the next 30 years if positive intervention measures are not put in place (2007). According to UN-Habitat, the knowledge in these slums shows that residents living in poverty are trapped in their present state (2003). This is because they are barred from the rest of the society (World Economic and Social Survey, 2008). Unluckily, they are not empowered to enable them make any noteworthy influence to community building (United Nations Population Division, 1998; Mutisya, 2010). This has pushed Nairobi city to the edge of sinking into an abyss as the weight of mushrooming shantytowns amplifies.

Besides millennium development goals and the promulgation of the constitution 2010, the country's efforts in improving housing date back to the 1970s where the state has been a signatory in declarations and treaties that recognize the right to adequate housing. The agreements include Worldwide Declaration on Human Rights (UDHR), the International Covenant on Economic, Social and Cultural Rights (ICESCR), Convention on the Rights of the Child

(CRC) and the African Charter on Human and Peoples Rights (ACHPR). Other include the Vancouver Declaration on Human Settlement and the Global Strategy for Shelter to the Year 2000 and Agenda 21 chapter 7 (Republic of Kenya, 2013).

Worldwide concerns and a call to slum-free cities in the 1970's urged the Kenyan government to formulate ways to respond to slums. Over the years, the government of Kenya has tried with different settlement development policies and strategies, ranging from forced eviction, resettlement, and site and services schemes and upgrading (UN HABITAT, 2008). Until 2000, when the UN member countries developed and adopted the Millennium Development Goals, which focus on slum upgrading/improvement, compulsory eviction was the dominant form of slum purge in Kenya. MDG Goal 7 seeks "a substantial improvement in the lives of at least 100 million slum-dwellers" by the year 2020 (MDGs, 2000). Despite substantial amounts of funds that have been sunk in the projects, there have been previous failed attempts to change the lives of the informal settlement dwellers. Such attempts include the Kibera slum upgrade programme, where slum dwellers did not benefit from the constructed houses (KHRC, 2009). Until recently, efforts to provide affordable housing to the urban poor have often ended up in the hands of the non-targeted social groups. On the other hand, provision of physical infrastructures like roads and drainage has often met the challenges posed by congestion of structures within the slums thus the continued reports of disasters such as uncontrollable fires and flooding.

Besides, attempts to provide and improve social and physical infrastructure in slums have often faced sustainability issues and resistance from those who benefit from the slums; ranging from maintenance status quo, alleviation of poverty, recognition among other interests. This has often been linked to a lack of proper community engagement in the formulation and im-

plementation of such programmes. Previous programmes were indeed bogged down by a top-down form of decision making with little or no efforts to involve the targeted communities. According to Cities Alliance, various factors are required for a slum upgrading programme to be effective (2014). The two most vital ones are strong political will on the part of the government and strong buy-in on the part of communities. However, the UNDP states that participation should be involved in all stages, not just projects and that the level of people's control may vary according to conditions (1997).

Therefore, having realized community engagement gaps, the government and partners have over the years made attempts to enhance the role of the community in the implementation of slum upgrading programmes. This can be witnessed in many government efforts such as the involvement of the Soweto East Community in the upgrading of Kibera and Korogocho Slums in Nairobi before the promulgation of the Kenyan Constitution 2010. These initiatives targeting informal settlements attempt to ensure that the community takes center stage in project formulation and implementation towards ensuring that ownership and sustainability are achieved.

According to the World Cities report, the global trends in urbanization such as population growth and urbanization, expanding informal settlements, uneven urbanization and an increasing need to improve the lives of slum populations, involving the community from the grass root level is indeed an essential element of the upgrading process (2016). Devoting assets in informal settlement upgrading projects, should preferably be based on clear indication regarding specific levels at which the residents were involved. Equally, policymakers need to know the specific mediations which are more effective than others.

## **1.2 Statement of the Problem**

There has been an increase in the number of informal settlements over the past few years in Kenya. The ever increasing rural to urban migration coupled with harsh economic environment has resulted in the sprouting of informal settlements in urban areas in Kenya. Pressure from non-governmental organizations and urban land rights activists forced the Kenyan government to recognize that, through collaboration with residents, slums can be upgraded without necessarily having to relocate its squatters (Huchzermayer, 2008). Slum upgrading projects such as the Korogocho Slum Upgrading Programme have been implemented in the country since the early 2000s. The main aim of such projects is to improve the living conditions of slum residents but their impact has been questioned given that the number of people moving into the slums is ever increasing. The slum upgrading projects brought about the concept of community participation, which as development experts suggest, should be embraced for projects to be successful. If the community isn't involved in such slum upgrading projects within their communities, then there is bound to be sabotage, disinterest, projects falling behind schedule, increased project costs as a result of litigation issues and even conflict which negatively impacts completion of such projects. When communities participate in development projects, challenges to do with the roles of stakeholders involved in the project, channels of addressing conflict, systems of governance and identification of projects are addressed. Despite the long-lived target by the government of Kenya to improve participation in many parts of Kenya, community participation is still low. This often causes the communities to lose interest in these programmes, which in turn increases reliance on government resources. Many questions need to be addressed to make participation effective, among them the ability of people to participate and their preferences for participation. With the on-going devolution process in Kenya, there is an indication that peoples' involvement in planning and implementation of slum upgrading projects might become a certainty. Nevertheless, the county governments and the citizenry lack capacity in this effort (NGGRP, 2005). This study,

therefore, aims at assessing the levels to which Korogocho residents were involved during The Korogocho Slum Upgrading Programme.

### **1.3 Justification of the study area**

Slums continue to grow in Kenya as a result of migration to urban centers. The rapid sprouting of slums in urban centers in Kenya proves that the national and county government authorities struggle to provide sufficient services that satisfy the citizen's needs. Nairobi accounts for the majority of slum population in Kenya with Kibera, Korogocho, Mukuru and Mathare being the most known informal settlements in the city, with Korogocho being the third largest. The improvement and development of these slums has become a priority for the Kenyan government. Together with Italian cooperation and UN habitat, the Kenyan government has been conducting a participatory informal settlement upgrading programme in Korogocho. Korogocho was the first informal settlement to have a settlement executive committee in place and which is at the heart of this programme. Community participation for this programme was facilitated by opinion leaders determined via a listening survey supervised by programme staff and social planners. Such type of approach can be prone to participation bias driven by the project staff as well as communication breakdown between the community and the stakeholders. Therefore, the researcher was interested in determining how these shortcomings affected community participation in the settlement upgrading programme.

### **1.4 Importance/significance of the study**

The findings of this study can be utilized by donors, development agencies and other stakeholders in enhancing community participation in project identification, planning and implementation. Development partners and other stakeholders could adopt the study's recommendations to enhance the community participation process in slum upgrading projects through

application of effective strategies, redefining policies and management practices. The findings of this study will provide background information to scholars and research organizations that will carry out further studies on the subject of community participation in development programmes. The study will also enable individual researchers identify gaps in the current study and contribute to literature on the subject.

### **1.5 Research questions**

The study was steered by the following questions;

- i. Does a settlement executive committee exist in Korogocho and if so, how is it structured and what roles did it play in the slum upgrading project?
- ii. To what extent does the community participate in the upgrade of their settlements?
- iii. What are the main challenges experienced by the settlement executive committee when involved in slum upgrading projects?
- iv. What strategies can be adopted to enhance community participation in slum upgrading projects?

### **1.6 Research Objectives**

This study sought to achieve the following objectives;

- i. To establish the existence of the residents' committee, its structure and the role it played in the project.
- ii. To assess the levels in which the residents of Korogocho were involved in the upgrading of their settlement.
- iii. To establish community participation challenges in slum upgrading projects.
- iv. To propose strategies that can be adopted to enhance community participation in slum upgrading projects.



### **1.7 Scope of the study**

The study covered three Sub-Locations of Gitathuru, Korogocho, and Nyayo and specifically eight villages of Gitathuru. The villages included Grogan A and Grogan B, Highridge and Korogocho B, Korogocho A, Kisumu Ndogo and Nyayo. Besides, the study focused on community participation in upgrading of Korogocho informal settlement. The upgrading scheme project was conducted between 2009 and 2012.

### **1.8 Assumptions of the study**

This study assumed that the residents of Korogocho were involved in upgrading their neighborhood at different levels in the slum upgrading project as per the law/regulations in the constitution.

### **1.9 Definition and operationalization of terms and variables**

This section focuses on the definition of terms as well as concepts used in the study. It gives a brief account of the terms used and the definition that the researcher relied on in the study.

#### **Community**

Paradoxically communities are also perceived as places where social problems occur and where they can be fixed (Lynn, 2005). Peoples' sense of community stems from a sense of being related to networks of family, friends, social groups and public organizations (Ennis & West, 2010). A 'well-connected community' is one which not only has strong inner connections but also associates with people and establishments outside its precincts. Its edges are permeable allowing ideas, information, and resources to flow both ways (Gilchrist, 2000). A public is also considered well if it 'tolerates change, celebrates variety, promotes fairness and acknowledges mutuality' (Gilchrist, 2000). In contrast, a homophiles community is one that has strong bonds but is closed to the outside world (Newman & Dale, 2005). These commu-

nities are often made up of the same 'type' of people concerning aspects such as age, sex, class, race or occupation which limits peoples' worldview.

### **Participation**

According to WorldNet Dictionary participation refers to the mechanisms used by people to prompt opinions about social choices, in any jurisdiction of human social activity. Imparato defines participation as "a process through which stakeholder's influence and share control over development initiatives, and the decisions and resources which affect them" (2003). A vivid definition of participation would imply the involvement of a significant number of people in situations or actions that enhance their well-being. For example, their income, security, or self- esteems (Chowdhury, 1996).

### **Community Participation**

Paul describes Community participation as "an active process whereby beneficiaries influence the direction and execution of development projects rather than merely receiving a share of the project benefits" (1987).

### **Slum**

There is no collectively agreed definition of a Slum. According to United Nations Expert Group Meeting held in October 2002 in Nairobi, Kenya suggested an operational definition of a slum to include characteristics such as inadequate access to safe water; sanitation and other infrastructure; poor structural quality of housing, overpopulation, and insecure residential status" (UN Habitat, 2003)

UNCHS defined a slum as "a term used to describe a wide range of low-income settlements and poor human living conditions" (2002). The definition also comprehends housing areas that were once respectable or even required, but which have since deteriorated, as the original owners have moved to new or better areas of the cities. The term slum, has, however, evolved

to include the large informal settlements that are quickly becoming the most visual expression of urban poverty.

As much as all the definitions of a slum are valid, the study relied on the interpretation arrived at during the United Nations Expert Group Meeting held in Nairobi since it breaks down what comprises poor living conditions thus offering a concise picture of the Kenyan scenario.

### **Slum Upgrading**

According to Syagga, Slum upgrading is a process of intercession for economic, organizational and environmental upgrading to an existing human settlement accepted collectively among residents, community clusters, governments (national/local) and any other development associates (Non-governmental, multilateral/bilateral organizations) (2011). Though the reasons for slum upgrading may differ from place to place, the main push aspects have included the demand for reasonable tenure options, environmental health considerations and poverty reduction (Syagga, 2011).

## **CHAPTER TWO: LITERATURE REVIEW**

### **2.0 Introduction**

This chapter focuses on review of literature relating to community participation and the stages involved during participation. Models and theories of participation are studied and a conceptual framework of the study is outlined. The chapter is structured into sections namely: 2.1-Community participation, 2.2-Community representation in slum upgrading in Kenya, 2.3-Levels of involvement of community in the slum upgrading, 2.4-Institutional framework, 2.5-Research gaps and 2.6-Conceptual framework.

### **2.1 Community Participation**

Paul defines Community participation as “a dynamic process whereby recipients influence the direction and implementation of development projects rather than merely getting a share of the project benefits.” Public involvement ought to not be alleged as being just a means (1987). Involvement enables the people to get over mutual-help initiatives and probably with outside help. The basic requirements which then would not be available to them, but also as a means to affect choices in the political arena about issues that move them (Choguil, 1996).

The key indication is that recipients influence the improvement. Other researchers like Imparato and Ruster describe it as a way in which people, and precisely needy persons, impact resource distribution, regulations, program planning and implementation, and are involved at dissimilar levels and degrees of awareness in the identification, ability, planning, design, implementation, evaluation, and post-implementation stages of development projects (2003). The idea behind community participation in the informal settlement upgrading is that community members are the people who finally benefit from a successful program and, therefore, they are the ones with better reasons to monitor, and should be given this responsibility (Stiglitz, 2006). The vision of community participation in the informal settlement upgrading

is now indeed one of the keystones of the World Bank's Comprehensive Development Framework (Philip et al., 2001). The definitions of participation suggest that it comes in different levels but the quality of participation depends not only on the level but also on the degree of awareness of participation (Imparato & Ruster, 2003).

Reid and Norman found that the profits of involvement that are continually stated in the literature can be summed up as follows; first it increases project design and effectiveness through systematized manifestation of mandate, which permits a development to provide what society want at a price people are ready to pay; and the access to local information, which helps take all appropriate factors into account in the answers planned by a project. Secondly it increases the effect and sustainability of projects through demand-responsiveness, which is crucial in enhancing economic sustainability; local ownership of projects, that is vital to impact and social sustainability; and an improved sense of obligation toward facilities and amenities on the part of indigenous persons and lastly it contributes to overarching targets such as good governance, democratization, and scarceness reduction by building local capability to interrelate with authorities and other participants to further mutual goals, creating clear channels for public involvement in choice making, and giving people the opportunity to impact the actions that shape their lives (2000).

Notwithstanding the importance for public level involvement, however, there are many skeptics of the potential of these types of schemes to improve slum circumstances. Gradstein (2017) and Gong (2002) for example, propose that the use of mutual involvement in monitoring might support locally based corruption and even enable organized crime. Other researchers found that disabling the collective action problem characteristic to any type of community level participation might be very interesting in practice (Banerjee et al., 2010). Indeed, efforts to improve situations in informal settlements in Kenya have often faced challenges of involv-

ing communities. The findings of Nyaboke confirm those by Amnesty International following reports by Soweto residents in Kibera that they were not aware of the election of the Settlement Executive Committee (SEC) which represented the community (2009). They voiced a view that they would have liked to have had the option to have their say in who should represent their villages. Due to such literature this research was interested in establishing the levels of community participation during upgrading of the Korogocho informal settlement.

### **2.1.1 Community participation in slum upgrading: A global perspective**

In most developing countries, the exponential change in demographic, social and economic factors has overburdened local authorities' capacities to adequately provide housing services. The challenge of providing affordable housing cannot be achieved through technical investments alone, the funding available isn't enough and the challenges keep on evolving. In such circumstances, service delivery depends on an efficient service delivery process and use of available resources. It mainly becomes an issue of management, which requires cooperation between housing service users and local authorities as well as the private sector (Schubeler, Peter, 1996). Community participation is now widely regarded as a basic element of development, although there are some scholars who don't see it that way. Chambers views community participation as a reaction to the limitations of a top down development approach (1993). However, the advantage of community participation in development projects is that the community becomes the primary actor that influences and share responsibilities of projects (Meredith & MacDonald, 2017).

Asia has several examples of community participation in slum upgrading projects. The governments in Asia have taken up a facilitative role in getting things done while at the same time maintained adherence to quality norms and financial accountability (APMCHUD, 2010). Civil and community societies in Asia have gained ground in several cities as a result of non-

governmental organizations such as the Asian Coalition of Human Rights and Slum Dwellers International. Through such organizations, community participation on housing developments is promoted in Sri Lanka, Pakistan, India, Philippines, Nepal, Indonesia, Cambodia, Mongolia, and Bangladesh among others. In Mongolia, the UN-Habitat with funding from the Japanese government and Cities Alliance have assisted the citywide poor upgrade the Ger areas via a consultative process that involve communities and the local government agencies. Other examples include; the slum improvements of Mumbai (Mukhija, 2017), the Million houses project in Sri Lanka, the Baan Mankong project in Thailand (Johar, 2017) and the Kirtipur housing programme in Kathmandu (Shrestha et al., 2018). In Latin America, communities have been involved in improving their 'favelas' in Caracas, Venezuela, Medellin, Colombia, La Paz, Bolivia and Rio de Janeiro, Brazil (Galiani et al., 2017).

The structural heterogeneity of informal and formal economic and residential spheres in may sub Saharan countries continues to aggravate the environmental and social challenges of the urban poor. There has been a shift to incorporate communities as active partners in development interventions and slum upgrading. For instance in South Africa, the breaking new ground policy encouraged in situ upgrading projects that allowed individuals to stay near existing job opportunities. Community participation was promoted by the upgrading of informal settlements projects. In Durban, the role of local community development committees was found to be significant as community participation was responsible for sustainability of slum upgrade projects (Georgiadou & Loggia, 2016). In Egypt's second largest city of Alexandria, the transformation of agricultural space into informal settlements had serious negative effects on agricultural land. The solution to the problem was achieved by involving the local community to avoid forceful evictions and relocations (Dina & Hanan, 2017)

### **2.1.2 Historical overview on citizen participation in Kenya**

In the Kenyan view, like in many other countries, strategy agenda for participatory development originated with and was for a long time narrowed to public development projects (Wakwabubi & Sherenje, 2003). Kenya tried to institutionalize decentralized planning and implementation of its programmes as fast as the 1960s through Sessional Papers. The most elaborate was the District Focus for Rural Development (DFRD) Strategy which became operative in 1983 and the sessional paper no. 10 of 1965 on African socialism. However, the approach stressed involvement of central government ground workforces in planning and implementation of programmes. This, as Chitere and Ileri note is different to the beginning of the participatory method (2004).

Preferably in contribution, development workforces such as civil servants have a part in supporting the process through assisting communities to ascertain and decipher their own problems. The DFRD Strategy also faced challenges in execution because it required an Act of Parliament that could establish the coordinating committees in the law. They consequently operated administratively rather than lawfully. This has remained a symbol of decentralized policies in Kenya whereby some resources have been created by Acts of Parliament and therefore have had lawful backing. However, others have been created through policy statements and thus have no assurance of continuity (Kenya Human Rights Commission and Social and Public Accountability Network , 2010).

A landmark incident in the development of participatory development and regulation in Kenya was the presentation of the Physical Planning Act in 1996. The decree does provide for public involvement in the planning and implementation of physical and development plans. However its major shortage is the lack of the serious element of public sensitization on their characters. Physical planning is also consolidated in major towns and thus communities living in rural areas remained marginalized in participatory planning (Okello et al., 2008).



The LASDAP and CDF have remained the key vehicles of public involvement at the native level. The LASDAP was presented in 2001 through a ministerial circular whilst the CDF was established in 2003 through the CDF Act. The LASDAP are three year rolling plans that are vital to display poverty focus with priority areas in health, education and infrastructure (Kibua & Oyugi, 2006). The LASDAP provides opportunities for the local authorities to absolutely engage with local people on matters of planning, budgeting and development (Ministry of Local Government, 2009). The CDF Act targets constituency level development projects mainly those targeting to fight poverty at the grass root level.

There exists the CDF Act that besides improving accountability of parties involved provides for communities to participate in development through its various committees. The CDF Committee (CDFC) members are selected by the local MP, though a framework detailing the categories of representation is legally provided for. There is also the Project Implementation Committee which is made of local stakeholders (Odhiambo & Taifa, 2009).

A major weakness in the CDF Act is the lack of vibrant mechanisms for the community to participate in decision making. Whereas these exist under the very elaborate LASDAP framework revised in 2009, empirical studies have proven that there is a gap between policy and practice. The weak expression of mechanisms of engagement significantly affects the success of the LASDAP and CDF. In order to improve participation as the country implements devolution at county level, there is need for clear mechanisms for engagement and vocalization of community interests.

The certainty of several funds is another key obstacle to active citizen engagement in devolved governance. An evaluation on the synchronization of decentralized development in Kenya, examined the distinct effects of the existence of multiple funds and the repetition of implementation jurisdictions. The study established that these have mostly barred residents'

engagement in local governance. Residents are confused by the current comparisons between administrative boundaries which make it hard for them to know or remember the processes involved in fund administration. The overlaps also make it difficult to conduct monitoring and evaluation (Kenya Human Rights Commission and Social and Public Accountability Network, 2010). The study recommends that for effective residents involvement to be understood there must be harmonization of the funds into a solitary basket under the county government.

## **2.2 Community representation in slum upgrading in Kenya**

The involvement of slum societies forms a vital portion of the alleviation of poor living conditions. In public involvement, several persons are involved in the group's activities. Societies pursuing to allow themselves can shape active contribution by welcoming it, creating valuable roles for each person, aggressively reaching out to build inclusive participation, and forming and supporting significant volunteer opportunities (Norman, 2000).

The project of a participatory strategy needs to consider the various characteristics of the various collective actors in a settlement with regard to the objectives of the project (Imparato & Ruster, 2003). It is increasingly difficult for every resident to actively participate in decision making hence the need for selection of community representation (Corder/Thompson & Associates, 2002).

One task for program planners is how to evaluate community participation (Advocates for youth, 2002). Involving slum residents in participatory planning is easier said than done (Sarkar, 2011). This is because societies are becoming progressively diverse in both social character and variety of morals and viewpoints. When associating participants and using a consensus-based procedure, conveners face a key challenge in how to select a group of stake-

holders that will be seen as inclusive and representative, and will be strong on their roles and ready to work efficiently together on the problem (Corder/Thompson & Associates, 2002). Signs of participation and ways of assessing it should also be defined by the community, and community members should decide and carry out the evaluation (Advocates for youth, 2002). Community participation in community improvement organizations and projects does not usually happen by chance alone. It happens since certain principles of organization are observed at an acceptable level to the participants (Ohio State University Fact Sheet, 1992).

Diversity begins informally when committee members deliberate the program with others, and the process continues with more proper recruitment efforts such as nominations, brochures and advertising. Recruitment actions and materials should be inviting and accessible to the people you wish to attract. The criteria and policies developed for participation should be regular with the long-range goals and the mission of the program. The planners should ensure that their attention is clear to everyone from the beginning, as well as the reasons behind it (Roeuny, 2017).

The level of information and the whole impact of the program are improved by including a balance of male and female members. This can also be attained by considering individuals with a variation of upbringings and capabilities for instance: occupations, ages, life experiences, social, spiritual and radical locations, civilization, income levels, length of time in the community (certain programs necessitates that candidates have lived in the communal for a specified amount of time, such as a minimum of one to three years), geography, employment status (retirees, volunteers, full-time employed persons, etc.), private sector, large business, small business, professions, agriculture, organized labor, non-profit sector: Human service

agencies, arts, education, religious/spiritual community, hospital and public sector: local government, court/judicial (Roeuny, 2017).

It is worth to recall the status of included persons or representatives of the most vulnerable groups (women, age, ethnic, religious, persons living with disabilities etc.). It has been evident that the circumstances present in slum areas affect more severely these groups. Moreover, the role that women play in slum communities must be tactically recognized in a participatory process. In their study, Imperato and Ruster, acknowledged that the level of interest of women in urban upgrading and housing projects is very high, shown in key roles and high degree of participation (2003).

On the other hand there are those public based organizations that can also be used as key actors in the process. Imperato and Ruster split these in to three main groups depending on those that have a broader development agenda for the area and those that focus on special interests or issues (2003). Better results are arrived at when all groups are involved in the process. Imperato & Ruster classify the three groups to be:

- a) Area-based community organizations that are large organizations with great number of participants; Normally, they have a long term and wider perspective on development of the neighborhood,
- b) Special interest groups, on the other hand focus on specific problems allowing them to have fewer internal conflicts.
- c) Finally, although hard to find, neighborhood area-based organizations are important in legitimizing community closeness allowing them to become the main vehicle for wider community demands.

Another approach for analyzing community participation by Corder/Thompson & Associates indicated that, naturally the steering committee can be composed of people who are closely identified with key interests related to the issue and who also are considered credible in the community (2002). The convening entity selects the representatives after identifying key interests and representatives of those interests and invites them to participate in the group, or attendees at an open public meeting select representatives to participate in the process. This approach is often used when it is difficult to identify organized groups representing different stakeholder interests. Interests can be acknowledged at the meeting and then those with similar interests can select representatives. Another way is use of the first meeting of the stakeholder group to explore whether any key interest is not represented. The representatives involved in the negotiating group often are the best sources of information about whether or not any key interests are not represented in the group. Stage at the initial meeting can be set aside for this discussion and then the group can agree on ways to get representatives of any missing interests.

Extra way of selecting community representatives may be hand-picking. According to Arnstein this process is more likely to work if the board members are equally split (citizens and power holders), so the citizens cannot be outvoted in the process (1996). Volunteer citizen participation continues to be one of the key concepts used in American society. Other times stakeholder groups select their own representatives. This process can be used in a variety of situations. Once stakeholder groups that should be represented in the negotiating group have been identified, they can be given the list of characteristics for stakeholder representatives and asked to select their representatives.

In South Africa, the communities are normally represented by Ward Committees (WC) and in some instances, Community Development Workers (CDWs), and other relevant stakeholders

come in, to support the Ward structures. The traditional methods of community participation, such as attending meetings, often held in churches, schools or other community buildings during the evening are also common. However they do not represent the opinions of the broad community because many cannot attend meetings during the scheduled time. These meetings may be dominated by a minority of the vocal citizens. It can also often be difficult for the average person to apprehend what is going on (Carver, 2001). In Durban the project manager is responsible for appointing a community liaison officer, and together they liaise directly with the local councilor and any settlement-based authority. The councilors are responsible for 'raising the voice' of shack dwellers to ensure some resident involvement in the upgrade process (Patel, 2013).

In a typical Kenyan case, in the upgrading of Kibera slums Soweto East's residents reported that they were not aware of the election to vote for community representatives. They expressed a view that they would have liked to have had the option to have their say in who should represent their villages (Nyaboke, 2009). According to them the voting was done during week days when most residents were at work and many were not informed or invited to express their views in the voting process suggesting that the SEC formation was not as democratic as had been planned (Ambeyi, 2009). In developed countries, online participation has opened up opportunities for more people to participate and for them to get a better understanding of the whole project. To enable online participation, or rather e-Participation citizens only need some form of internet access to express their opinion and to gather information (Carver, 2001).

### **2.3 Levels of involvement of community participation in the slum upgrading programme**

By participating in decision making and implementation process, locals help project officials to identify needs, strategies to meet these needs and the necessary resources that are required to implement the strategies (Yadama, 1995). Individuals ought to be able to take part in choices that shape their lives. The proposal of the built atmosphere is one of these verdicts. It is important to state that architectural quality should not be a patronizing gift from architects to the urban poor communities. There should be a mutual exchange between the architect and the client and in the best case a mutual benefit for both parts emerges.

Through a participatory planning process, these benefits could be more clearly defined, understood by all and therefore more sought after as a common goal. This can be an important stepping stone in creating a platform for the development of a sustainable community. What is needed is a broad set of approaches to community-based design that can be understood and useful in different local contexts. The architect needs to be responsible for developing these methods and tools used in the participatory process. In that way, the architect's work can be linked to the visions and needs of the community (Bell, 2004). Through participatory approach the upgrade project is delivered on time and on budget according to the plans of the municipal project manager (Patel, 2013).

According to UN-Habitat's Guidelines for the Preparation of Shelter Programmes, inhabitants, or users, of an area chosen for upgrading should be involved at the early stage of the project (1984). The participants should be addressed to be able to organize themselves in a cohesive group. Further, subgroups and family representatives should be elected for larger gatherings and they should be invited to assess the proposals at different stages of the process

(UN-Habitat, 1984). The development needs should be put more in the hands of the community including the actual design. The members of the community have to be more than just consultants to the professionals. They need to be partners in participatory design.

Shaping participation remains a test because the “appropriate” level of public participation in decision-making remains unclear is an ill-defined concept. It is also problematic to implement it surprisingly diversity of individuals and groups with divergent, often conflicting, interests. Nevertheless societies require a role in compelling local governments to perform improving efficiency of service delivery determinations better assessment of needs on what is needed & where possession and willingness to contribute and uphold and solving problems such as movements and collection rates (Gulyani & Connors, 2002).

The UN Committee stresses the position of genuine consultation and participation by affected communities in the design of housing strategies. This confirms respect for human rights and also their relevance and effectiveness. Ochieng notes that in Kenya public members are not adequately involved in the design, planning and implementation of the project as was the case in Kibera slum upgrading (2014). Affluent public involvement needs sustenance from the public sector such as formation of training, credit and technical assistance. Nonetheless, people of the slum contribute and produce maps of their communal. By authorizing the people to map their own environs and collect material about the community, the citizens gained some control of the conditions they live in. A corporation between the people and Map Kibera has been made, and the individuals are gaining a physical map with dynamic evidence that they can share with the government and the realm.



Nevertheless in Durban, in a slum known as Zwelisha, Patel showed that under initiatives for greater community participation, settlement-level actors were very involved in the process of upgrading (2013). Though they were not involved in the design of houses, plans for the settlement's design, methods to the upgrade process or even in the evaluation of an upgrade, the actors tended to be active as agents of implementation. They had precise responsibilities such as drawing up housing lists of eligible residents and monitoring any newcomers so that they do not take advantage of the upgrade. They also enable the entry and movement of builders, engineers and water sanitation officials during the feasibility and implementation phases of settlement upgrade. However, there seems to be very little official and compulsory monitoring of how these actors operate. The role of settlement-level actors is vital to the logistical success of an upgrade project. This suggests an under-acknowledgement of their power and influence over which individuals benefit from an upgrade and which do not (Taylor, 1994).

In Durban's case, the second principal role of the Community Development Committees (CDC) was to facilitate the entry, movement and exit of housing and services professionals. The leader of the CDC and/or other CDC members would accompany engineers, construction workers and utility service providers. They had to confirm that they went in the settlement in order to enable their safety in unfamiliar places, to be able to respond to questions from residents about who these people were and what they were doing. They had a duty of learning from these professionals what exactly they were doing and why, so that CDC members would be able to communicate this to residents at meetings (Patel, 2013).

During the implementation phase, however, the role of the CDC develops. For example, the CDC is given precise roles to perform that should be a highly visible role facilitating the entry and exit of professionals and decision-making responsibilities over who is qualified (via

the housing list). The connection between the CDC and municipality during this phase is kind of a partnership where some formal decision making is shared. Although it is a limited partnership in that the municipality pre-determines the arenas in which the CDC's decisions count (Patel, 2013).

The part played by the CDC was essential to allow external professionals to progress with their work plans and fulfill their contracts with the municipality. The third role the CDC played was to attend meetings with the municipality and local councilor in order to certify the representation of Zwelisha's residents at that level, and to convey information back to residents. Through this position of gatekeeper, the CDC was able to manage channels and content of communication between Zwelisha's residents and the municipality. Opportunities for either the municipality or residents to communicate outside of the CDC were almost non-existent, only if there was a concern with a resident's application for a subsidy did they communicate with a housing official but such incidences were secluded (Patel, 2013).

The CDC, requesting broad support from the municipality and local councilor, barred the building of shacks and poorly constructed extensions on land that is privately owned (or will be once title deed are issued) by Zwelisha's upgraded residents. A respondent explained, "Even though we have big yards you can't build a shack – no one is permitted. Only if you have space and build a proper extension are you allowed. They also barred *shebeens* [taverns] in the new settlement, arguing they attract unsavory characters, encourage excessive drinking, can become hubs of violent and aggressive behavior that may consequently impact negatively to the residents. These limitations are intended to create a pleasant unthreatening and aesthetically pleasing environment. The CDC are able to implement such rules because to a given degree residents believe that these restrictions have posi-

tive outcomes (especially regarding *shebeens*), since they risk losing their investments (in building materials) if they fail to comply (Patel, 2013).

Alternative participatory project is the PUI-project, “Proyecto Urbano Integral” (Integral Urban Project) in Medellín, Colombia, developed by the local government during 2004-2007. The PUI-project was part of “Social Urbanism”, a local method to physical improvement, social actions and residents’ participation. It was built on interdisciplinary actions, engaging different people and promoters. The administration of the project was decentralized for a closer working relationship with the different upgrading areas in the city. The initial project was tested in a part of the city called Noriental. Native community organizations and leaders were recognized and they became the connection between the community and the PUI-team (Nord, 2014). Noriental presented a variety of social structures, which led to a further decentralization of the project into four portions. Each part elected their own citizen committee who were to become consultants to the PUI-team in questions regarding infrastructure, public spaces and public facilities. Further, they became consultants in the refurbishment and improvement of the houses and neighborhoods (Larsson, 2012).

In each step of the process, the people of the communities were asked to participate in workshops and deliberations. In the workshops, the members got the opportunity to draw and visualize their visions, ideas and personal memoirs of specific neighborhoods chosen for upgrading. The workshops were planned with the objective to include the members of the communities in the design process. With the input given by the community, the physical section worked on a first sketch which was later presented to the Community Committees to confirm that the designs of the community were in it. The last design was carried out by the professionals in the PUI-team with the ideas of the community in mind. The definite con-

struction phase of the project was carried out by construction companies with a working force that consisted to 92% of local workers from the upgrading areas. By this approach, 3200 new job openings were created within the settlement (Larsson, 2012).

Subsequently, the construction of the projects the animation phase is aimed at creating a sense of ownership in the community as well as establishing permanent or frequent programs. Mingo Festival was done in a combined effort of the community and the administration agencies, and was established as a street market. It is always done during the last Saturday of every month around “Santo Domingo” Metrocable station. Here members of the community who work with handcrafts or had small businesses come and sell their products. Social activities such as games for the children, concerts, theatre play, etc. aimed at bringing the community together were organized. In all of these events social groups of the area were highly encouraged to participate (for example if there is a dancing group, they were asked to make a performance) (EDU, 2013).

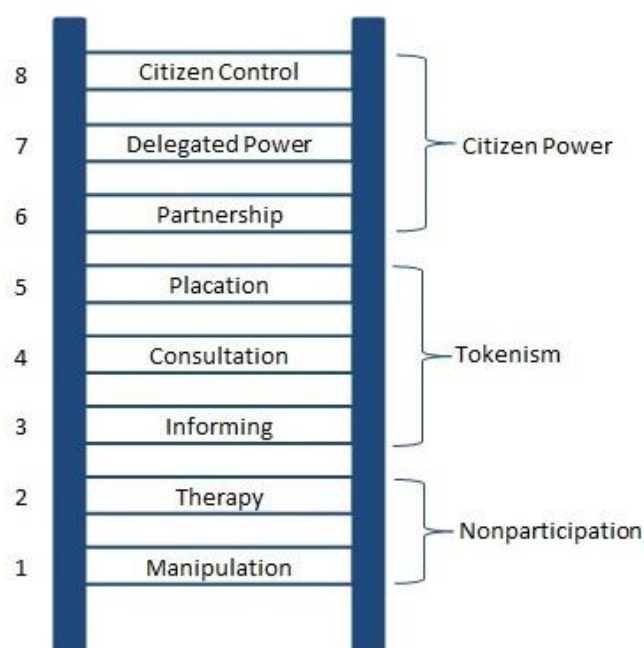
From New Delhi in India we can find linked examples of residents achieving real citizen power through knowledge. There, Public Participation GIS (PPGIS) was used by the public to map their area. The citizens, armed with maps, then submitted applications to the Delhi Government administration requesting service improvements. After mapping their community, they had comprehended that they had the right to demand more water taps for their community, as water standards were not being attained. Knowing that 135 households were sharing the same water tap passed them the information and power to negotiate for more taps to be linked (Hoyt, Khosla, & Canepa, 2005). Expanding the evaluated case studies, this study endeavored to establish the levels and areas in which the Korogocho community was involved in upgrading their settlement.

### 2.3.1 The ladder of citizen participation

The “ladder of citizen participation” was first well-defined in an article by Sherry R. Arnstein (Arnstein, 1969). The report provides an overview of the various methods the community can be involved in choice making. It defines eight levels of participation, which are shared into three main groups. Even still it was first printed over 40 years ago, planners, architects, politicians, power holders and several others still identify these different levels of participation. These levels can be discussed as a hierarchy, as shown in Figure 2.1

Arnstein categorizes the major two levels in her hierarchy of citizen participation as non-participation (1969). This is where the public is not unswervingly involved and may be subjective into thinking they are part of decision making, where the authority holders have shaped a phony form of participation, maybe around a choice already made. At the first level there is manipulation where people are “educated” and may be guided to sign proposals they believe to be in their interest.

**Figure 2.1: The Ladder of Citizen Participation**



The second level of the participation, which Arnstein calls therapy, involves the power holders “curing” the people. The power holders promise to assist the citizens and have them engage in different events where their opinions may be “cured”, and in the end accepted by the citizens.

Arnstein refers to the third, fourth and fifth levels as tokenism. This is where the people become involved but only to a certain degree. The informing level is where the citizens are advised of what is happening. This is a one-way information process, where people take the information in newspapers, in the media, online or by other means.

Consultation is the fourth step, where citizen participation is heartened. This step is utilized and crucial in urban planning. If consultation and evidence is taken into account as part of the planning process, this can be operative. However, if the consultation and information is not taken into deliberation at the end of the day, this step will be of incomplete value and could therefore fall back into the non-participating level.

The fifth level in Arnstein’s ladder is where citizens’ judgment will start manipulating the power holder’s decision. Arnstein calls this level placation. At this level, citizens may be selected to sit on a governing board that makes conclusions on the planning process. According to Arnstein, this process is more expected to work if the board members are equally split (people and power holders), so the people cannot be outvoted in the process.

The latter group in the participation ladder is what Arnstein calls citizen power. This is where the people get to affect the choice making straight. At the sixth level the power holders and

inhabitants create a partnership. Arnstein considers partnership comparatively high on her ladder as she trusts this can keep both people and power holders' content.

The seventh level is what Arnstein calls delegated power. At this level the inhabitants can start taking control since the command holders need to start discussing with the people. Related to the sample given for placation (the fifth level), the mutual of the board members would be the people. This would mean that the power holders would need to discuss decisions with the board members.

The last level is what Arnstein calls citizen control. The arguments describe this level, since it gives the people the power to choose. This can be realized through referendums, but since those are often exclusive and difficult to establish it would most likely slow down the process markedly. They are therefore frequently exploited for larger decisions. In many cases, local authorities do not, however, give their inhabitants full control in such elections, but treat the results instead only as advisory for the final decision made by the city county or other such decision making bodies.

A participation process is not a typical process. Once a course for participation is decided upon, a conclusion has to be prepared on what kind of course should be used and at what level the resident involvement should be. Diverse approaches can be used, such as workshops, open houses, community meetings, surveys and PPGIS, which can all be appropriate and deliver valuable results if done in the right way.

### **2.3.2. Challenges of community participation**

Different limitations for participatory strategies hinder the success of effective participation between the various elements involved in urban development projects in developing nations.

These limitations include factors concerning legal constraints, technical and regulation standards, project management procedures, absence of workable models or planning methods (Schubeler, 1996).

The first challenge for community participation concerns legality. The fact that huge proportions of informal settlement residents do not have a legal title to their land constitutes a significant limitation to their participation. As settlement upgrade amounts defect acknowledgement of property rights, agencies responsible for urban and housing development are neither not authorized nor unwilling to proceed with slum upgrading. In solving this issue, governments can create special programs for normalizing informal settlements, that is, legalizing land tenure, service upgrading and layout corrections. Further constraints to community participation are concerned with technical and regulation standards which local governments apply to construction of housing. Full compliance with such standards raises the cost of urban and housing services beyond the means of ordinary low income residents (Ayman, 2011).

Another challenge concerns planning methods, which often delay community participation in development and housing projects. Most plans are conservative and embody a conceptual methodology, which is antithetical to bottom up planning and community based participation. Conservative plans are based on top-down approaches that desire a state of single housing. Implementation of such projects is usually organized into different phases that aim to accomplish the targeted design by a given date. As such, people figure as parameters that are external to the whole project, but essential in determining the projects performance. In addition to planning challenges, practical interests of supporting agencies and administrative procedures often limit the scope of community participation in housing developments. To control expenditures and timing of activities in a project, the managers and planners formulate the budget and implementation schedule in advance. To guarantee adherence to this, there is an inclination to limit the beneficiaries' participation in such projects. The last challenge for



community participation is the deficiency of workable models. Bureaucratic opposition to change and the fact that community participation hasn't been conducted before brings about hindrances to community participation (Ayman, 2011). Even when the desire to have community participation is present, the lack of knowledge, resources and skills may result in unworkable compromises.

#### **2.4 Institutional framework**

Policy issues relating to community participation are specified in various policy documents in Kenya but there is no particular mention of community participation. The documents however mention citizens' participation in social development projects as shown in the table below.

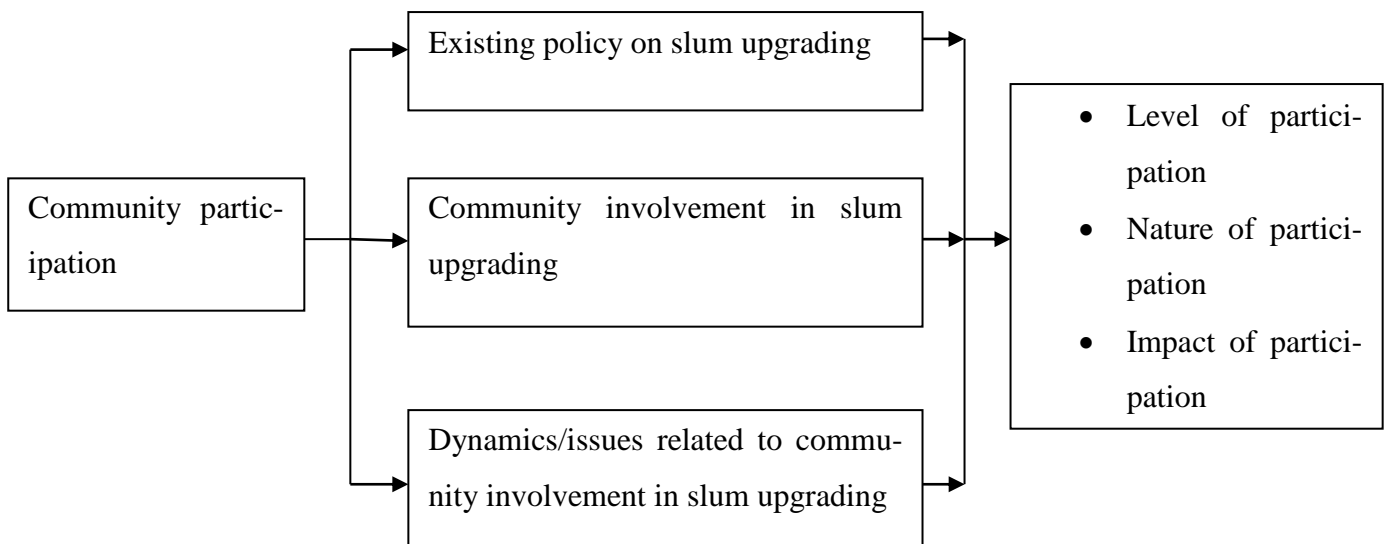
**Table 2.1 Institutional framework**

<b>Actor</b>	<b>Regulations/laws</b>	<b>Roles</b>	<b>Challenges/Potentials</b>
Beneficiaries	<ul style="list-style-type: none"> <li>-Chapter 10 of the Kenyan constitution.</li> <li>-Vision 2030 &amp; Millennium Development Goals (MDGs).</li> <li>-Local Authority Service Delivery Action Plan (LASDAP)</li> </ul>	<ul style="list-style-type: none"> <li>-Ensure the project meets their needs and demands.</li> <li>-Can in some instances, undertake maintenance work.</li> </ul>	<ul style="list-style-type: none"> <li>-Feeling left out of the project due to lack of awareness and participation.</li> </ul>
Residents in vicinity	<ul style="list-style-type: none"> <li>-Chapter 10 of the Kenyan constitution.</li> <li>-Vision 2030 &amp; Millennium Development Goals (MDGs).</li> <li>-Local Authority Service Delivery Action Plan (LASDAP)</li> </ul>	<ul style="list-style-type: none"> <li>-Question how the project will affect them.</li> </ul>	<ul style="list-style-type: none"> <li>-Often biased against or for a project and due to conflict of interest.</li> </ul>
Community representatives	<ul style="list-style-type: none"> <li>-Chapter 10 of the Kenyan constitution.</li> <li>-Vision 2030 &amp; Millennium Development Goals (MDGs).</li> <li>-Local Authority Service Delivery Action Plan (LASDAP).</li> <li>-Local Authorities Transfer Fund (LATF).</li> </ul>	<ul style="list-style-type: none"> <li>-Ensure the project is what the community wants.</li> <li>-Ensure the project continues to consider the community as its implemented.</li> <li>-Sensitize and create awareness about the project.</li> </ul>	<ul style="list-style-type: none"> <li>-Political interference.</li> <li>-Inadequate facilitation.</li> <li>-Diverse stake holder interest.</li> <li>-Their input about on the project being ignored by project stakeholders.</li> </ul>
Project stakeholders	<ul style="list-style-type: none"> <li>-Local Authorities Transfer Fund (LATF).</li> <li>- Local Government Reform Program (LGRS).</li> <li>-Local Authority Service Delivery Action Plan (LASDAP).</li> </ul>	<ul style="list-style-type: none"> <li>-Ensure the projects objectives are sustainable.</li> <li>-Provide relevant information and knowledge about the project's progress.</li> </ul>	<ul style="list-style-type: none"> <li>-Absence of a workable community participation model.</li> <li>-Diverse interests of external support Agencies.</li> </ul>

## 2.5 Research gaps

The foregoing literature has shown that one of the key challenges of shaping a true participatory process is meeting the breach between the two main components of such a process that are the project and the social process (Imparato & Ruster, 2003). This study investigated how the social process was done in the case of Korogocho slum upgrading and in particular how the community was involved.

## 2.6 Conceptual Framework



**Figure 2.2: Conceptual Framework**

The structure of slum upgrading is entrenched in the slum policy where the management and mobilization of the upgrading process are coordinated by settlement executive committees. This study sought to assess community participation in the slum upgrading programme in Korogocho. The study conceptualized that community involvement in slum upgrading, dynamics/issues of security of tenure in slum upgrading and existing policy on slum upgrading have an impact on the level, nature and impact of community participation. The model shows the participation of community members in the slum upgrading project and how existing policies, community involvement and dynamics of community participation affect the communi-

ty's level, nature & impact of participation. At the point between community participation and influences (existing policies, community involvement and dynamics of community participation), we do not know how these factors interact to influence community participation. We however hypothesize that they will influence community participation in terms of nature, level & impact of participation. At the point between influences and outcomes, the opportunity structure analyzed was between the various stakeholders, local government, community and development agents and their responsibilities. The extent in which they are involved and the challenges they face with respect to the influences have an impact on the quality of participation and determine the outcomes in this model which are the nature, level and impact of community participation in slum upgrading projects

## **CHAPTER THREE: RESEARCH METHODOLOGY**

### **3.0 Introduction**

This chapter presents the procedures that were used in conducting the research. It focuses on research design, target population, sample size, techniques and sampling procedures. Additionally, it contains data collection, data analysis and presentation techniques.

### **3.1 Research design**

This was a cross sectional study design that incorporated both qualitative and quantitative data collection methods. Semi-structured questionnaires which were administered to 400 household heads were mainly used to collect quantitative data. Unstructured interview guides were used in focus group discussions and key informant interviews to collect qualitative information.

### **3.2 Study Area**

This research was undertaken in Korogocho informal settlement which is located approximately 11.1 Kilometres North East of Nairobi. The study area is accessed via Kamunde Road which branches off Outering Road in the Kariobangi North area and passes through a section of the settlement. The study area lies at 1° 13' 0" S, 36° 55' 0" E at an elevation of ranging from 1514m (4968ft) to 1,603 m (5,262 ft).

The settlement borders Ngomongo Village and the Dandora dump site to the East and the Kariobangi Estate and Gitathuru River to the West. The Nairobi River flows along its western border while the Soko Mjinga Market and a sewer treatment plant mark its southern edge. Also, Korogocho is located within Kasarani Division, which is the northern division of Nairobi. It borders Westlands to the West, Pumwani and Embakasi to the South West. It is located within Kasarani Division consisting of Ngomongo and Ngunyumu areas (see Figure 2).

### **3.3 Study population**

Population refers to an entire collection of persons, occasions or objects having mutual noticeable characteristics (Mugenda & Mugenda, 2003). The target population for this research consisted of estimated 34,152 people spread into 8 Villages of Korogocho.

### 3.4 Sampling and sampling procedures

This study used cluster sampling technique whereby the population was clustered into the eight (8) villages. Due to the large number of the population Yamane formulae was used to calculate the sample (1967).

#### 3.4.1 Sample Size

The sample size required was determined by Yamane's formula below.

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

Where  $n_y$  = required sample size,  $N$  = Known population size and  $e$  = Precision error level (in this case 5%).

$$n_y = \frac{34152}{1 + 34152(0.05^2)}$$

$$n_y = 395.37$$

$$n_y \approx 400$$

Each of the 8 villages' contributed 50 respondents who were randomly selected after meeting the inclusion criteria of being a resident of Korogocho and having been a resident of the said village for a minimum of 10 years and thus the exact number of respondents from the community was 400. Purposive sampling was used to select 4 respondents from the project's key stake holders (Italian cooperation, City council and the ministry of housing) while respond-

ents for the 2 focus group discussions were selected with the help of village elders and the Korogocho slum upgrading programme office.

### 3.5 Data Collection

Data collection in this research was done in multiple ways using questionnaires and an interview schedule. The questionnaires were for the 400 beneficiaries of the slum upgrading project, which were to be filled by the household head. The interview schedules were for the community-based organizations, faith-based organizations and focused group discussions.

**Table 3.1 Sample Size**

#	Institution	Sample size	Tools used
1	Households	400	Questionnaires
2	Settlement executive committee	2	Focus group discussions
3	Key stakeholders in the project e.g. officials from the ministry of housing, Italian cooperation, city council & programme officials.	4	Key informant interviews

The questionnaires were preferred as the primary data collection tools because they collect information practically fast from respondents in a non-threatening way (Patten & Newhart, 2017). Questionnaires are easy to issue, they are rather inexpensive to administer and the same instrument may be sent to a large number of people besides they allow the respondent to respond at their ease, and they collect vast amounts of data. They are objective and avoid unfairness which grows as a consequence of the interaction between the researcher and the

respondent. Moreover, they can be finalized incognito, and the outcomes are easy to equate and study (Patten & Newhart, 2017; Trochim, 2006). The questionnaires contained both open (unstructured) and close-ended (structured) questions. The instruments includes items on the levels of community capacity building, the criteria for selection of Community Representatives (CR) and the levels of participation of the CR in the slum upgrading.

### **3.6 Data collection procedures**

After consent of the research proposal by the University, the researcher acquired a research permit from the National Council for Science and Technology (NACOST). The researcher paid a courtesy call to the County Administration, Korogocho Chiefs Office and Korogocho Slum Upgrading programme office to inform them of the study. An introduction letter from the university was also obtained. The researcher then proceeded to report to the Korogocho slums to create understanding with the respondents and elucidate the purpose of the research before administering the form to the respondents. The respondents were guaranteed of their privacy and confidentiality. Due to the vastness of the study area, the researcher was assisted by research assistants.

The researcher with the help of research assistants distributed the questionnaires to the respondents. The respondents were given time to fill in the questionnaires. The research assistants assisted in interpreting the questionnaire to respondents who did not know how to read and write. The questionnaires were collected at the end of the solid day of data collection. Eighty-five percent of the respondents filled in and returned the questionnaire.

#### **3.7.1 Quantitative Data**

Quantitative data was collected using semi-structured questionnaires having both closed and open-ended questions (Appendix 2). Closed ended questions were used to obtain demographic information, structure of the settlement executive committee as well as measure the level



of involvement in community participation. Open ended questions were mainly used to provide more information about the close ended questions as well as providing descriptive information about the challenges of community participation.

### **3.7.2 Qualitative data**

Qualitative data was obtained using guides for in depth interviews and focused group discussions (Appendix 3, Appendix 4 & Appendix 5). The guides were meant to elicit in depth information as well as opinions and knowledge based on interaction with the project. The focus group sessions consisted of SEC members from all interest groups in Korogocho. Key informants included; the Kenyan Government and the Italian cooperation officials. Discussion topics included: benefits and challenges of community participation in the slum upgrading project, the roles of the settlement executive committee in the project and recommendations on strategies that can improve community participation in slum upgrading projects.

### **3.7.3 Focus Group Discussion (FGD)**

The Focus group discussions were held with the resident committee in their office. The study had two focus groups comprising of five ladies and ten men from all the 8 villages under study. The focus groups were used to generate information on collective views, and the meanings that lied behind those views. Also, it was useful in generating a rich understanding of participant's experiences and beliefs. Tape recorders were used with permission from the group to record all information discussed. Before the discussions, the group was informed of the rules to be followed, including the participation of all members not interfering with another's contributions and confidentiality of the information. The use of flip charts to demonstrate the responses given as well as note-taking was used to record the responses. The data was later transcribed in preparation for a comprehensive analysis.

### **3.8 Ethical consideration**

Permission of all the respondents in this study was sought and all agreed to contribute to the research voluntarily. In addition the respondents were assured that the information they gave would be treated with utmost confidentiality and used only for the purpose of this study.

### **3.9 Data analysis types and presentation techniques**

The study used both qualitative and quantitative method of analysis. During field work all completed questionnaires were checked daily and data cleaned to ensure completeness, consistency and accuracy.

**Table 3.2: Steps in research**

Step	Objective	Tools used	Outcome
1.	To assess the levels at which the residents of Korogocho were involved in the upgrading of their settlement.	-Household questionnaires -Key informant Interviews -Focus group discussions -Secondary research	-Contribution made by community participation on the project. -Nature of sensitization done, how and on what or for what
2.	To establish the existence of the residence committee, its structure and the role it played in the project	-Secondary research -Household questionnaires -Key informant interviews -Focus group discussions	- The roles the community played in the upgrading of the slum. -The settlement executive committee's composition -Membership and key area/ village represented
3	To determine the settlement executive committee's representation that represented the community in the project.	-Household Questionnaires -Key informants Interviews - Secondary research -Focus group discussions	-The extent of community representation in the upgrading e.g. gender requirements, special needs group, widows, youth etc.
4	To examine the challenges facing community participation in executing its role in slum upgrading projects within the study area.	-Household questionnaires -Focus group discussions -Observations	-Challenges faced by the settlement executives committee in executing its role in slum upgrading projects.

## **CHAPTER FOUR: BACKGROUND TO THE STUDY AREA**

### **4.0 Introduction**

This chapter highlights the location of the study area, Korogocho. Further, the chapter provides the background of the study area and thus the problem area. This will help in understanding the nature of the study area. A summary of emerging issues is presented at the end of the chapter.

Korogocho is one of the major informal settlement environs of Nairobi, Kenya. Home to approximately 35,000 persons living within 1.5 square kilometers, northeast of the city centre, Korogocho was established in 1970s as a shanty town on the then peripheries of the city. In 2009 it was assessed to be the fourth largest slum in Nairobi, after Kibera, Mathare Valley and Mukuru Kwa Njenga. The title Korogocho is a Swahili term meaning congestion, shoulder to shoulder (UN Habitat, 2005).

### **4.1 Location**

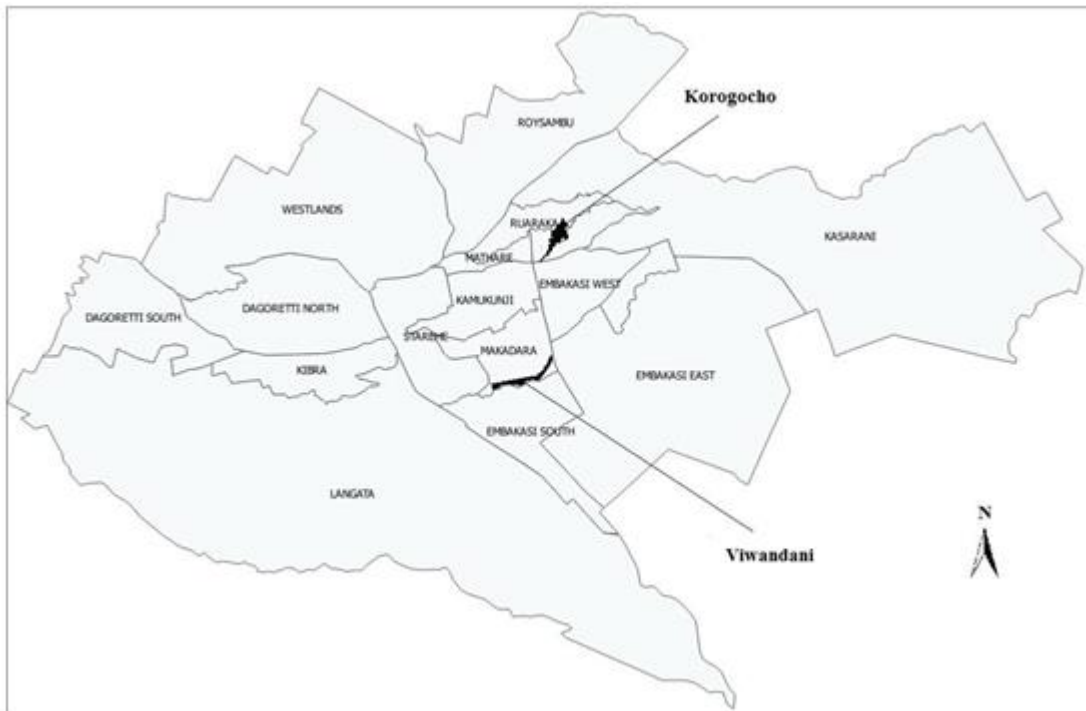
Situated 11 Kilometres NorthEast of the Nairobi city centre, Korogocho is on government owned land which was an empty outskirts when it was established by rural migrants to the city in the 1960s. It borders one of Nairobi's main dumpsites, Dandora. The informal settlement is a Location (a formal subdivision) of Kasarani division, Nairobi County and is divided into eight villages: Highridge, Grogan A & B, Korogocho A & B, Githaturu, Kisumu Ndogo, and Nyayo (UN Habitat, 2005).

Figure 4.1: Regional context



Source: Google earth

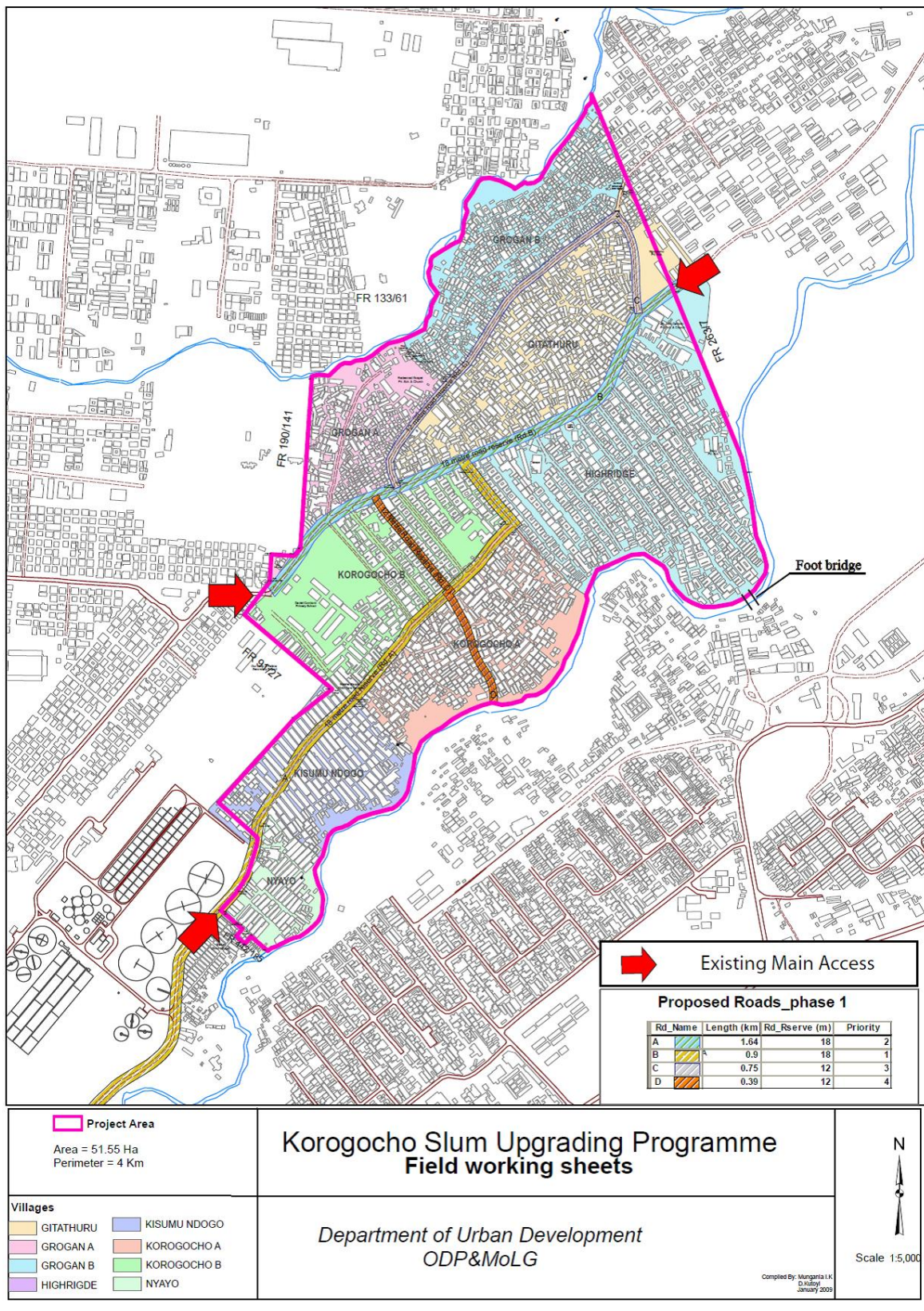
**Figure 4.2: Korogocho Nairobi**



*Source: Korogocho Slum upgrading programme: Integrated physical development Plan, 2015*



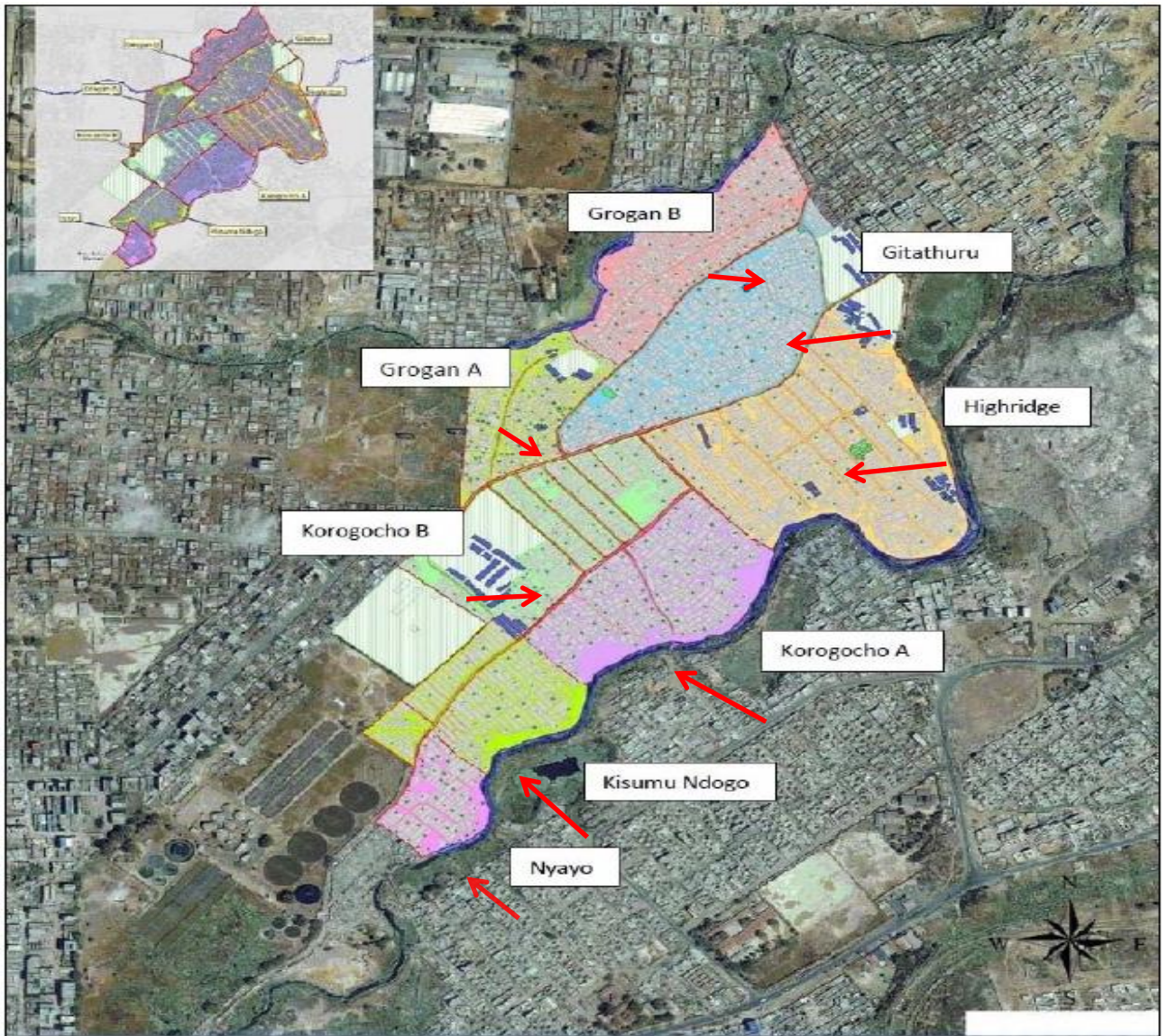
**Figure 4.3: Location of Korogocho**



*Source: Korogocho Slum upgrading programme: Integrated physical development Plan 2015*



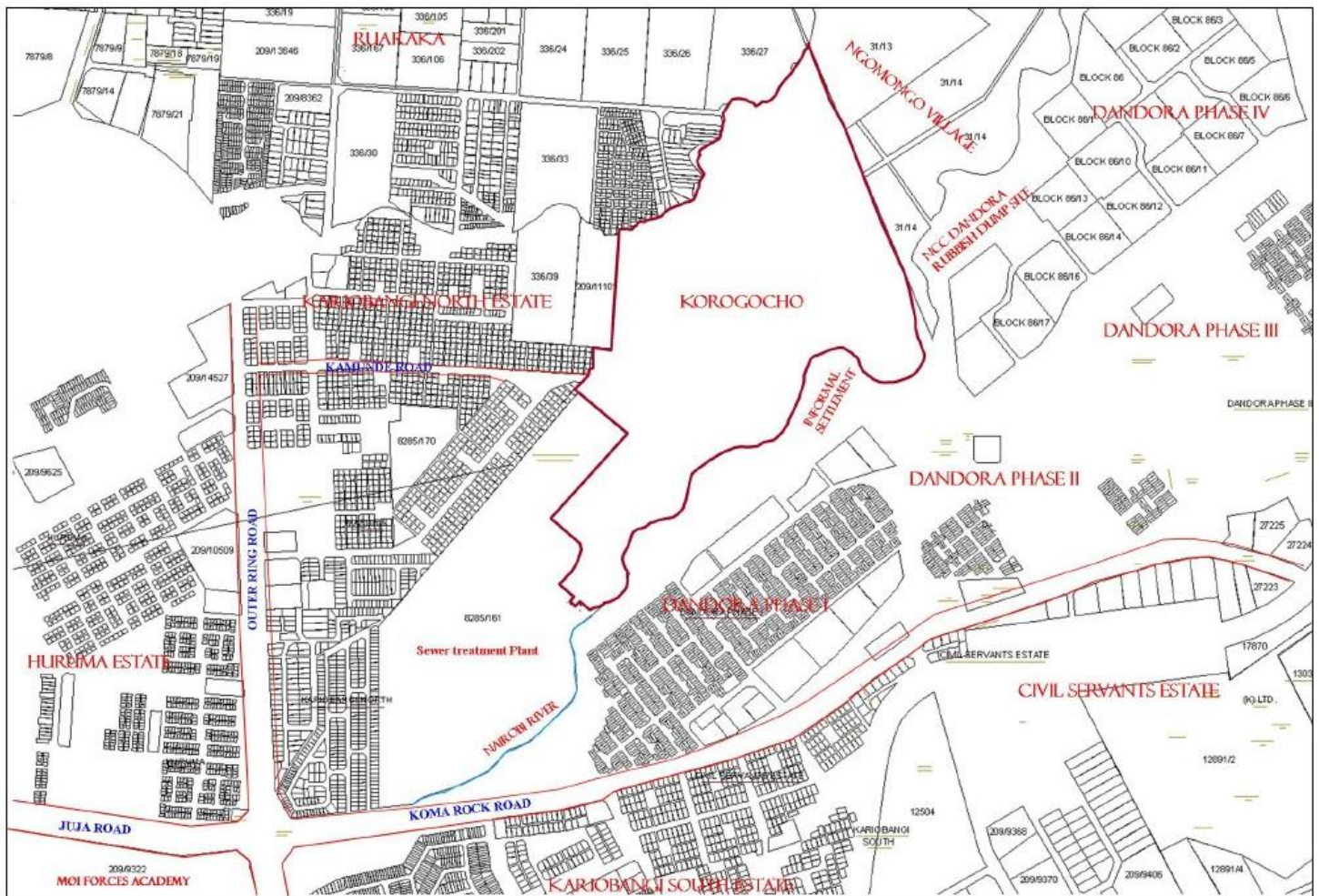
**Figure 4.4: Cadastral Boundaries image showing Korogocho in its immediate neighborhood**



*Source: Google earth*



**Figure 4.5: Integrated Physical Development Plan**



*Source: Korogocho Slum upgrading programme: Integrated physical development Plan, pg*

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## 4.2 Physical Characteristics of the Study Area

### 4.2.1 Climatology and Vegetation

The climate of Korogocho presents a microclimatology experienced in the whole of Nairobi. The city of Nairobi lies roughly one third degrees south of the equator, in a region that would be expected to have an equatorial type of climate. But due to its altitude above sea level, the climate has been generally placed in the category of low latitude highlands. It can be general-

ized that Nairobi lies in an equatorial climate regime that has been modified by altitude and has small diurnal and annual ranges of temperatures. In Nairobi, the hottest month has a daily mean temperature of 14°C after midnight while the coldest month has a daily mean maximum temperature of 12°C during the day as occasioned by the altitude of 5,000 to 6,000 feet above the sea level. Rainfall is divided into two rainy seasons: the short rains fall in November and early December, and the long rains between April and mid-June. The neighbourhood's annual average rainfall is approximately 950 mm per annum. There are occasional heavy downpours which result into flooding of houses along the open drains (Korogocho Slum Upgrading Programme, 2009)

#### **4.2.2 Drainage**

Lack of facilities for draining of waste and storm water in Korogocho has resulted in intensive pollution of streams in the neighbourhood. Drainage is deprived and incomplete to major roads and paths. The drainage system in the settlement encompasses of shallow exposed regular drains and artificial drains which are often used as discarding points of solid waste and mire. Korogocho area lies adjacent to Nairobi and Gitathuru rivers where most liquid wastes and surface run-offs from the informal settlement are drained into (Korogocho Slum Upgrading Programme, 2009).

#### **4.2.3 Geology**

Korogocho area is covered by Nairobi phonolites of middle Pliocene period and is estimated to be over 5.2 million years old. The lava attained a thickness of 120 metres in some places and differs from the Nairobi phonolites. This is because it contains less conspicuous feldspar crystals and smaller nephelines. Small flakes of biotites are sometimes present. Some of these rocks are not very old and have not undergone deep weathering, so the soil layer is very thin and the bedrock is very near the surface. These rocks are quarried extensively and used as

building stones. This is why the area has extensive quarries. The quarries have closed down leaving hazardous gapping sites filled with water(Korogocho Dam). These form a breeding site for mosquitoes – causing a high prevalence of Malaria in the area. Nairobi phonolites have weathered to form black cotton soils which have very high clay content, which does not drain easily. These soils become very sticky during the rainy season, because of the fine particle making accessibility during the rainy season difficult. This shallow soil structure also makes the digging and construction of pit latrines difficult (Korogocho Slum Upgrading Programme, 2009).

### **4.3 Earlier Informal settlement upgrading initiatives in Korogocho**

Slums cover only 5% of Nairobi. They provide homes to 2.5 million Kenyans. Some large Italian projects are based in Korogocho, including those funded by Italian Government and World Bank debt swaps, and a partnership of Catholic Church charities, Bega Kwa Bega, created in 1991 and a mission by the Italian Comboni Missionary society, that begun in 1973 (Korogocho Slum Upgrading Programme, 2009).

The Government of Kenya came up with a programme for refining the lives of Korogocho residents, the Korogocho Informal settlement Upgrading Programme (*KSUP*) 2008. The KSUP is sponsored through the Italian Government as portion of a debt swaps scheme and comprises of representatives from UN Habitat, former local government and federal government. Local representation for the residents of Korogocho was to be made through the formation of a Koch Resident's Committee comprising of 6 residents from each of the 8 villages in Korogocho, totaling 48 people and headed by a Chairman (Peter Kinyanjui), Secretary (John Okello) and Treasurer (Nancy Wangare).

One of the two answerable Comboni Missionaries at the outstation St. John in Korogocho explains that informal settlements are a form of social and economic apartheid (UN Habitat, 2005). The government doesn't care, and some years ago the existence of informal settle-

ments was not even recognized. The priest explains the concept of the missionaries to walk together at the pace of the people and to share the Gospel, which has the power to change lives. When politicians or NGOs want to upgrade informal settlements, usually they focus on economic and social charity projects. But these projects have no long-term impact. They are often cosmetic interventions. The day an NGO leaves the place, the project also breaks down. *“Money alone doesn’t empower people. We have to ‘upgrade’ first the mentality of the people and involve them to shape their future. Personal commitment and the integral vision of human, economic and spiritual growth are indispensable. Only the churches offer this service at the moment.”*

Diverse inventiveness has grown through the help of the Comboni Missionaries, including the women cooperative *Bega Kwa Bega*, the Mukuru-Recycling-Centre and the St. John Sport Society. Furthermore, Jamii Bora Trust, a micro-finance institute, is presented because it withstands many businesses in Korogocho.

The St. John Sport Society (SSS) is inventiveness by the Catholic parish to encourage integral human development. The following sports are offered: football, netball, volleyball, basketball, karate, taekwondo, boxing, bodybuilding/weightlifting, darts and athletics. Besides the training, each sport cluster participates in public service projects at least every two months. The activities include but are not limited to cleaning up the neighbourhood or visiting the sick. It underlines the interrelation of the informal settlement dwellers and that nobody should live and survive by him/herself.

#### **4.3.1 Healthcare**

With poor infrastructure, scarce resources, overcrowding, and proximity to the dump, health in Korogocho slum is poor. Numerous organizations offer free clinics in the informal settlement, while others organize HIV/AIDS avoidance seminar work. The area has been singled out by officials because of high illegal drug and alcohol abuse, and an estimated 14% HIV infection rate in 2008. The informal settlement has an education center called the " Caretakers Orphans Education Centre" CEOC funded by donations in the UK to help HIV orphaned children gain an education, food, and basic medical attention .

**Table 4.1: Different informal settlement upgrading activities and the levels at which the residents of Korogocho were involved.**

**PLATE I: CURRENT KOROGOCHO HEALTH FACILITIES (A AND B)**



The figure above shows health facilities before and after upgrade. **Source: Field work**

#### **4.4 Components of Korogocho informal settlement upgrading**



The Korogocho Informal settlement Upgrading is a joint initiative of the Kenya Government and the Italian Government through the Kenya-Italy Debt for Development Programme. The main components consist of improvement of infrastructure, sustainable development, security of land tenure and community mobilization. Preparation of the physical development plan, as per Physical Planning Act provision, was one of the major outputs of the programme.

The programme is one of the many initiatives implemented by the Ministry of Local Government for informal settlement upgrading and eradication. The Korogocho Informal settlement Upgrading was started in the year 2008. The objective of the programme was to improve the living conditions of the Korogocho residents.

#### **PLATE II: KOROGOCHO BRIDGE BEFORE UPGRADING**



**Source: Korogocho Local Physical Development Plan report (2008)**

The pipe in plate II served as a foot bridge for residents of Korogocho before the upgrade, According to data collected by the (UN Habitat, 2010:8), accidents not exceeding 20 were experienced in the year 2008 by residents using the bridge.

**PLATE III: KOROGOCHO BRIDGE AFTER UPGRADING**



**Source: Korogocho Local Physical Development Plan report**

Plate III shows the situation after the upgrade. No accidents have been experienced so far after the upgrade(UN Habitat, 2010:8). Since the inception of the Korogocho Informal settlement Upgrading Programme, many milestones have been achieved. These include the Community Mobilization Strategy, which gave rise to the election of a Residents' Committee. Infrastructure improvement is also at an advanced stage as the construction of a footbridge was completed, works on the roads have begun as well as the construction of a Health facility.

Four major roads were proposed and earmarked for improvement during the first phase of the Informal settlement Upgrading by the Department of Urban Development in the Office of the former Deputy Prime Minister and Ministry of Local Government.

**PLATE IV: ROAD C, BEFORE UPGRADING**



**PLATE V: KOROGOCHO ROAD C AFTER UPGRADING**



*Source: Korogocho Local Physical Development Plan report*



Plate v, shows Korogocho Road C after the upgrade. Upgrading transformed the road into a c tarmacked one with drainage channels. From the plate v, it is apparent that encroachment was curbed to widen the road. The tarmacked road is environmental friendly as it has improved drainage and less dusty scenario.

A third component of the Korogocho Informal settlement Upgrading Programme is the preparation of a Physical Development Plan which will guide the provision of secure land tenure and infrastructure. The process of preparation of the plan was as per the Physical Planning Act, Cap 286 and the Local Government Act, Cap 265, It is important to note that Cap 265 was repealed upon the enactment of the county government Act 2010 and the promulgation of the Constitution of Kenya, 2010.

**PLATE VI: COMMUNITY MEMBERS PARTICIPATING ON DEVELOPING KOROGOCHO LPDP**



**Source: Korogocho Local Physical Development Plan report pg. 15**

Various institutions already established were brought on board in the planning process as discussed herein.

**i. Residents' Committee**

Community Mobilization Strategy has achieved major milestones including the election of a 50-members committee of representatives from all the Villages within Korogocho with the area Chief and Councilor being Ex-Officials. Six people represented each of the 8 villages as follows:

1. 1 village elder
2. 2 structure owners
3. 1 youth representative
4. 1 women's representative
5. 1 tenant representative

The group was broad enough to represent diverse interests in the settlement and was formally designated together with the Interagency Technical Working Group as the main representative of stakeholders in the process. The process was guided at every step by the International Technical Working Group (ITWG), which met regularly to ensure the project stayed on course and milestones were achieved in time. The ITWG was made up of the UN Habitat Technical Advisor, Representatives from the former Nairobi City Planning Department, and former Office of the Deputy Prime Minister and Ministry of Local Government with Urban Development Department, National Environment Management Authority (NEMA) and the former Ministry of Land with Departments of Physical Planning and Commissioner of lands.

The Local Physical Development Plan for Korogocho will guide development of the area. The plan provides a broad framework with specific components that address various development needs for the area.

The layout plan prepared and the accompanying report constitute an important planning component to facilitate easier plan implementation. The plan provide useful guides for daily planning and development control. They act as useful tools for development regulation, guiding development applications and decision making by the land owners and developers. The community also participated in identification of where the amenities should be located.

While the responsibility for implementation of the plan largely lies with Nairobi County government and the Ministry of Devolution and Planning, the plan identifies all the key actors and points out their specific mandates towards the realization of the plan objectives. The role of the Nairobi County government, the National government and non-government agencies and the local groups, is well elaborated in the plan. The implementation of the plan is key to achieving orderly development of Korogocho and the obtaining of secure land tenure for the Korogocho residents.

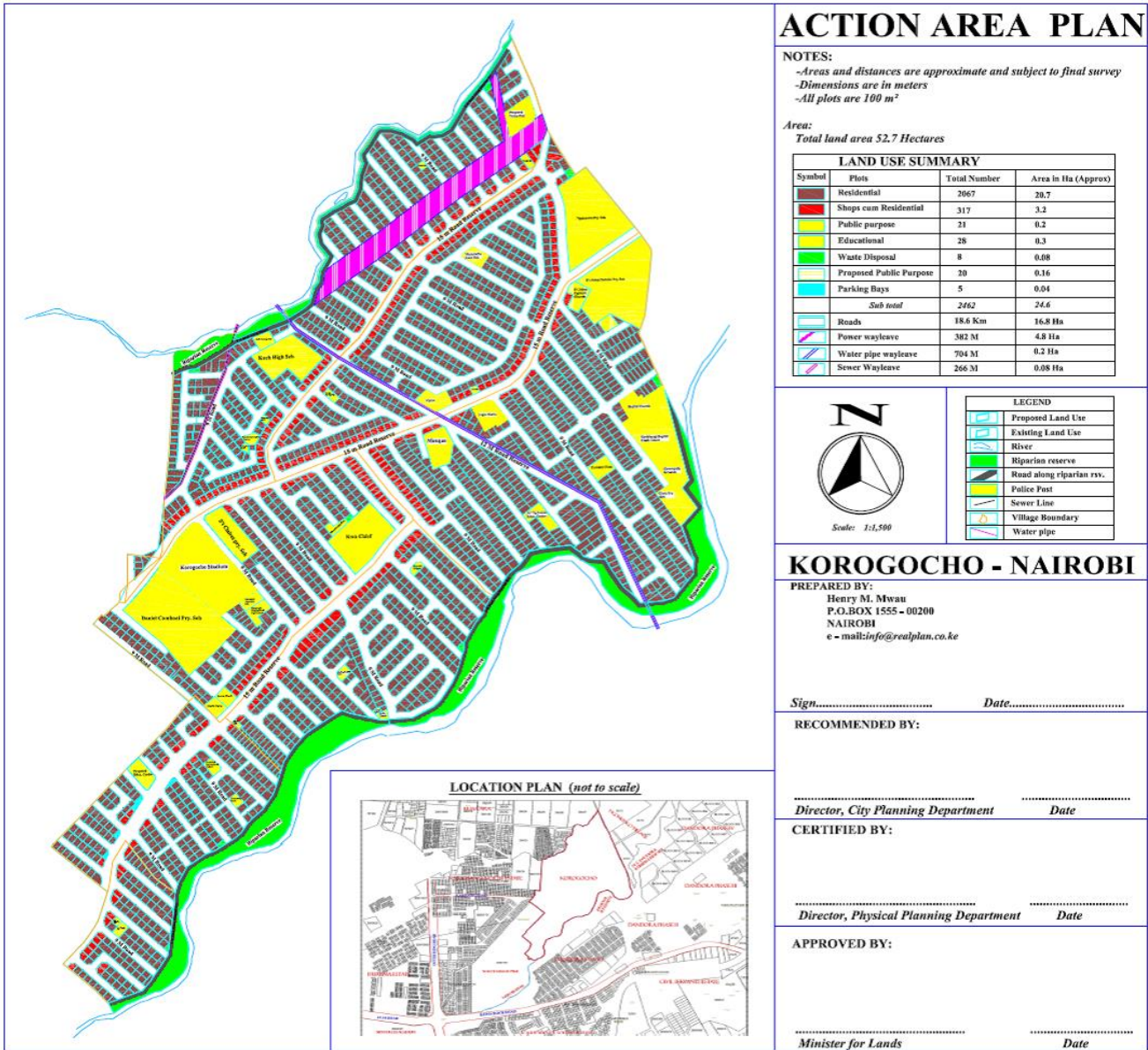
The plan is strategic and allows flexibility to change during implementation. It allows for reviews of the provisions of the plan but only through a participatory approach. The proposals made are adaptable enough to fit the unique conditions entailed in the settlement vis-a-vis the highly dynamic nature of urban developments.

Though the objective of the plan was not to address land allocation issues, the report incorporates useful statistics that will assist the implementers in the matter. However the recommendation is to further support an inclusive debate that can lead to a negotiated solution to cater for both the needs of the structure owners and tenants without undermining the future development of the area ensuring a significant improvement of the life of all residents.

The physical development plan is crucial and necessary for Korogocho as it will eventually bring out an aura of order. Korogocho communities shall benefit from better settlements. Additionally, better infrastructure will have the feedback effect of increased productivity through trade and obtainment of gainful employment. The physical development plan also provides for social amenities improvement thereby encouraging children to go to school and accessibility to medical services. The end outcome is declined deaths and increased literacy levels and thus economic growth.

The plan highlights area zonation on the basis of land use where residential, shops, public areas, educational, parking bays, roads, power, water and sewer way are established. This is crucial to concerned parties and the states as it offers enlightenment on the manner in which land is used.

Figure 4.6: The Approved layout



## ACTION AREA PLAN

**NOTES:**  
 -Areas and distances are approximate and subject to final survey  
 -Dimensions are in meters  
 -All plots are 100 m<sup>2</sup>

**Area:**  
 Total land area 52.7 Hectares

LAND USE SUMMARY			
Symbol	Plots	Total Number	Area in Ha (Approx)
[Red]	Residential	2067	20.7
[Red]	Shops cum Residential	317	3.2
[Yellow]	Public purpose	21	0.2
[Yellow]	Educational	28	0.3
[Green]	Waste Disposal	8	0.08
[Yellow]	Proposed Public Purpose	20	0.16
[Cyan]	Parking Bays	5	0.04
Sub total		2462	24.6
[Blue]	Roads	18.6 Km	16.8 Ha
[Pink]	Power wayleave	382 M	4.8 Ha
[Purple]	Water pipe wayleave	704 M	0.2 Ha
[Pink]	Sewer Wayleave	266 M	0.08 Ha



LEGEND	
[Blue]	Proposed Land Use
[Grey]	Existing Land Use
[Blue]	River
[Green]	Riparian reserve
[Blue]	Road along riparian rv.
[Yellow]	Police Post
[Blue]	Sewer Line
[Red]	Village Boundary
[Blue]	Water pipe

## KOROGOCHO - NAIROBI

**PREPARED BY:**  
 Henry M. Mwan  
 P.O.BOX 1555 - 00200  
 NAIROBI  
 e - mail: [henry@realplan.co.ke](mailto:henry@realplan.co.ke)

Sign..... Date.....

**RECOMMENDED BY:**

.....  
 Director, City Planning Department Date

**CERTIFIED BY:**

.....  
 Director, Physical Planning Department Date

**APPROVED BY:**

.....  
 Minister for Lands Date

The main challenge faced in implementing the approved plan to date has been funds, where there has been inconsistent release of funds that slows down project completion. While this is the main challenges, joint participation from all stakeholders has with time reduced the impact.

## CHAPTER FIVE: DATA ANALYSIS AND RESULTS/RESEARCH FINDINGS

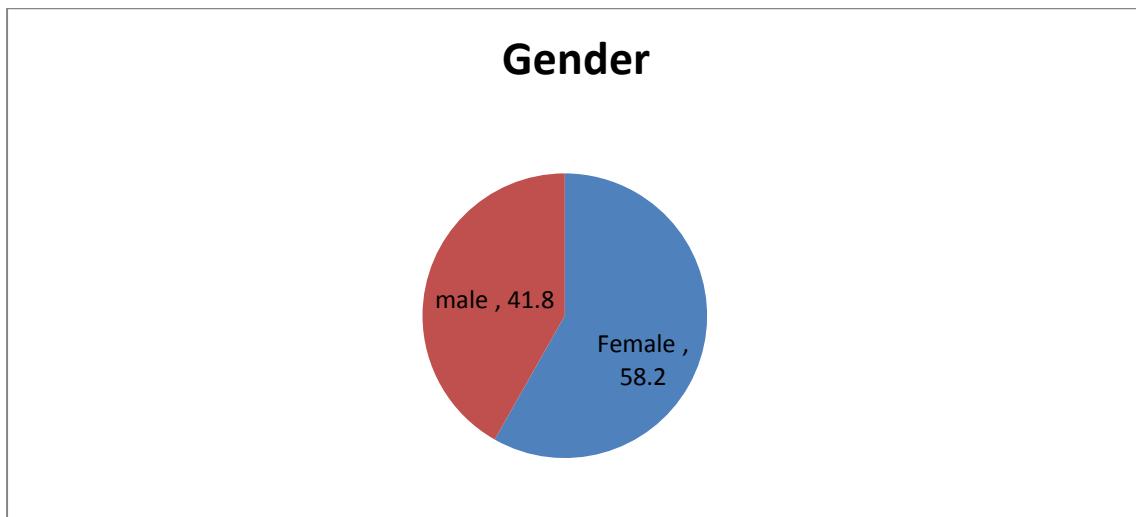
### 5.0 Introduction

The previous chapter presented the situation of the study area before and after upgrading. This chapter presents the research findings from the study. The information from this study is categorized into themes, each relating to the research objectives.

### 5.1 Socio-demographic characteristics of respondents

#### 5.1.1 Gender of the respondents

The gender of the community household heads was measured by use of close-ended questionnaire and the results are shown in figure 5.1 below



**Figure 5.1: Gender of the community household heads who responded to the study**

Women who live in the slums represent one of the strongest forces for the development of millions of urban families living in poverty around the world. The results of figure 5.1 show that majority of the community household heads who responded to this study were women accounting for 58.2% compared to males at 41.8%. This does not imply that women necessarily head majority of the households in Korogocho, but rather the females were more available.

#### 5.1.2 Age of the respondents

The age of the community household heads was measured by use of one close-ended questionnaire and the results are shown in Table 5.1

**Table 5.1: Ages of the community household heads**

Age category (years)	Frequency	Percentage
25 – 30	53	15.6
31 – 35	90	26.5
36 – 40	69	20.3
41 – 45	47	13.8
46 and above	81	23.8
<b>TOTAL</b>	<b>340</b>	<b>100</b>

Table 5.1 shows the ages of household respondents. From the table, most of the residents are young (below the age 40). Majority (26.5%) of the respondents in the study were between the ages of 31 to 35, 23.8% were aged 46 and above, 20.3% were between the ages of 36-40, 15.6% were between the ages of 25 and 30 while only 13.8% were between the ages of 41-45.

### 5.1.3 Education level of the respondents

United Nations Educational, Scientific and Cultural Organization (UNESCO) estimate that youth population in urban areas is larger than it has ever been, and is growing. However, in one out of every five countries, poor young people living in the cities have low levels of education than those in rural areas. Using close-ended questionnaire the respondents were asked to indicate their academic and professional qualifications and the analyzed results were as shown in Table 5.2.

**Table 5.2: Education level of the respondents**

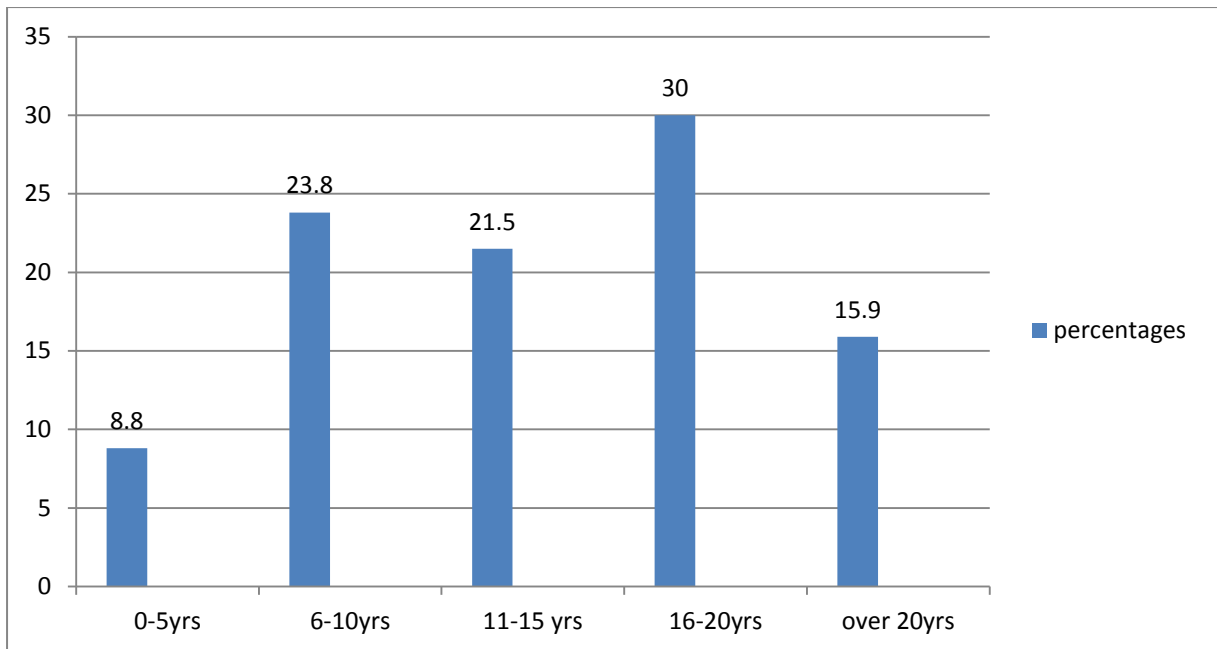


<b>Education level</b>	<b>Frequency</b>	<b>Percentage</b>
Primary	123	36.2
Secondary	66	19.4
Diploma	74	21.8
Professional certificate	58	17.0
Bachelors	16	4.7
Masters	3	0.9
<b>Totals</b>	<b>340</b>	<b>100%</b>

Table 5.2 shows that the majority 36.2% of the community household heads have primary school education, followed by those holding a diploma at 21.8%. There was a negligible proportion of 0.9% who had masters' degrees.

#### **5.1.4 Length of stay of the respondents in Korogocho slums**

Using a questionnaire the respondents were asked to indicate their length of stay in Korogocho slums. The analyzed results were as shown in figure 5.2.

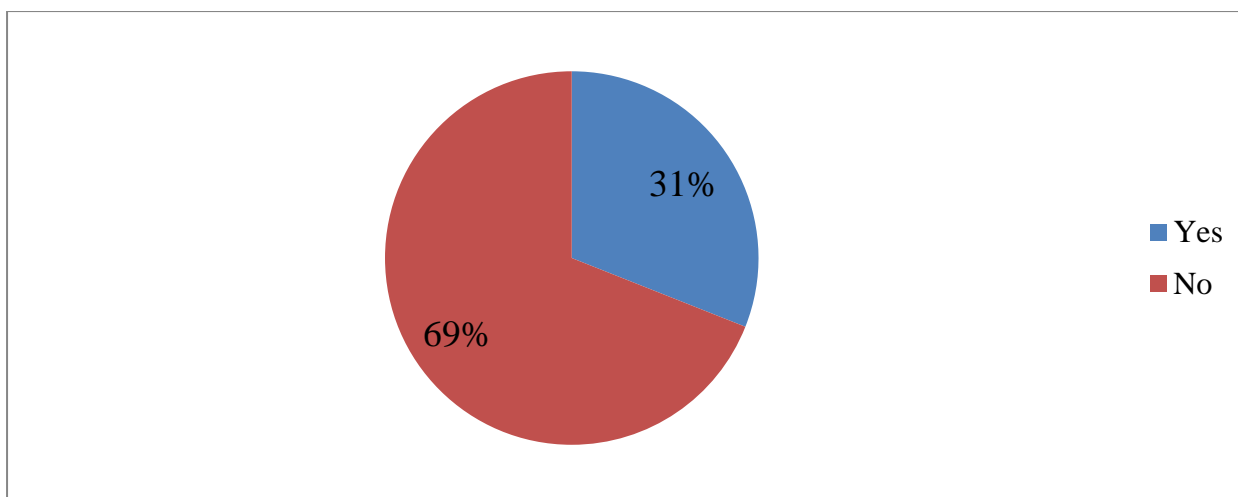


**Figure 5.2: Length of stay in Korogocho slums of the household heads who participated in this study**

According to figure 5.2, majority of the respondents (30%) had lived in Korogocho slums for between 16 and 20 years followed by 23.8% who had lived there for 6-10 years and 21.5% who had lived there for 11-15 years. The relevance of this was to establish whether the respondents were there during the initiation of the slum upgrading programme in 2008. The study found that majority of the respondents were able to mention on whether the community participated or did not apart from the 8.8% who had stayed there for only 0-5 years.

### **5.1.5 Community sensitization**

This section had questions concerning community sensitization. The results were presented in figure 5.3, 5.4 and Tables 5.3 as follows;



**Figure 5.3: Response as to whether the community was sensitized by the project**

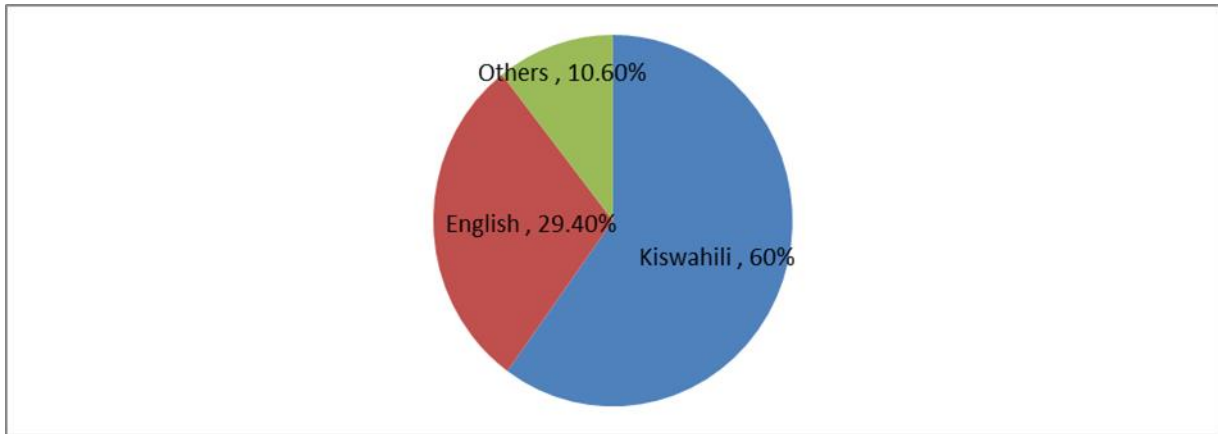
Figure 5.3 shows that 69% of the respondents' stated that they were sensitized about the project while 31% indicated that they never sensitized about it. This was a challenge to the study as sensitization was a key factor in ensuring the awareness of the community in the Korogocho upgrade process. However, it was noted that majority of those who were never sensitized could have not been there when the project began as shown in figure 5.2 (length of stay).

**Table 5.3: Ways in which sensitization was done to the community**

Ways training was done	F	%
Meetings	73	21.5
Widespread training in the village	34	10
Workshop	184	54.1
On Sunday during church service/mass	68	20
In meetings organized by chiefs	97	28.5

I don't know	67	19.7
--------------	----	------

With a focus on the impact of participation on the slum upgrade process to the community both in the long run and short run, Table 5.3 indicates the methods used in sensitizing the community about the project. The findings indicated that workshops (54.1%) were the main means by which the community was sensitized followed by meetings organized by chiefs (28.5%) while other meeting accounted for 21.5%. Some of the respondents indicated that sensitization was done in churches accounting for 20% while 19.7% of the respondents indicated that they were not aware of any sensitization that was conducted. Table 5.3 is appropriate since it shows that all avenues were exploited to ensure that training was fully conducted. Community Based Organizations (CBOs) and Faith Based Organizations (FBOs) had indicated that the communities were trained mainly through workshops which were held in churches and in other public places like schools. These workshops were organized by the chief although according to them the churches played a very important role in mobilizing the communities. It is however important to note that only the executive resident committee members were involved in the training and the communities were contacted only when important issues arose through public *barazas*. As such not all community members came into contact with the implementers; it was the duty of the CR to pass what had been taught down to those represented.



**Figure 5.4: Language Used to Sensitize the Community**

From the findings in figure 5.4, 60% of the respondents indicated that they were sensitized about the project in Kiswahili, 29.4% indicated that they were sensitized in English while 10.6% indicated that other languages were used to sensitize the community. Kiswahili was the preferred language of sensitization as it is the official national language in the country and it is well understood by many people.

In their interview the Community Based Organizations (CBOs) and Faith Based Organizations (FBOs) had responded that the language used to sensitize the community was Kiswahili mixed with English. Besides, where groups could understand some concepts in local language, at times the local dialect was used.

## **5.2 Existence of a settlement executive committee, its structure and roles it plays in slum upgrading projects.**

There exists a settlement executive committee in Korogocho made up of individuals from every village. The committee consists of 50 members with the area member of county assembly and chief being ex-officio members. Each village is represented by 6 individuals as follows; 1 youth representative, 1 women’s representative, 1 tenant representative, 1 structure owner and 2 village elders.

**Table 5.4 Stakeholder representation in settlement executive committee**

Stakeholder	Number from every village	Semi total	Percent
-------------	---------------------------	------------	---------

Village elder	2	16	32%
Youth representative	1	8	16%
Women's representative	1	8	16%
Tenant representative	1	8	16%
Structure owner/landlord	1	8	16%
Area chief/MCA		2	4%
<b>Total</b>	<b>6</b>	<b>50</b>	<b>100%</b>

The findings from table 5.4 show the composition and structure of the settlement executive committee. The settlement executive committee is mainly composed of village elders (32%), 4% local administration (MCA/chief) while the rest; youth, women, tenants & landlords comprised of 16%. The youth and women were equally represented in the SEC, but a content analysis of open ended questions revealed that more women and youth need to be incorporated in the SEC. Other suggestions included having learning institutions within the area be part of the SEC.

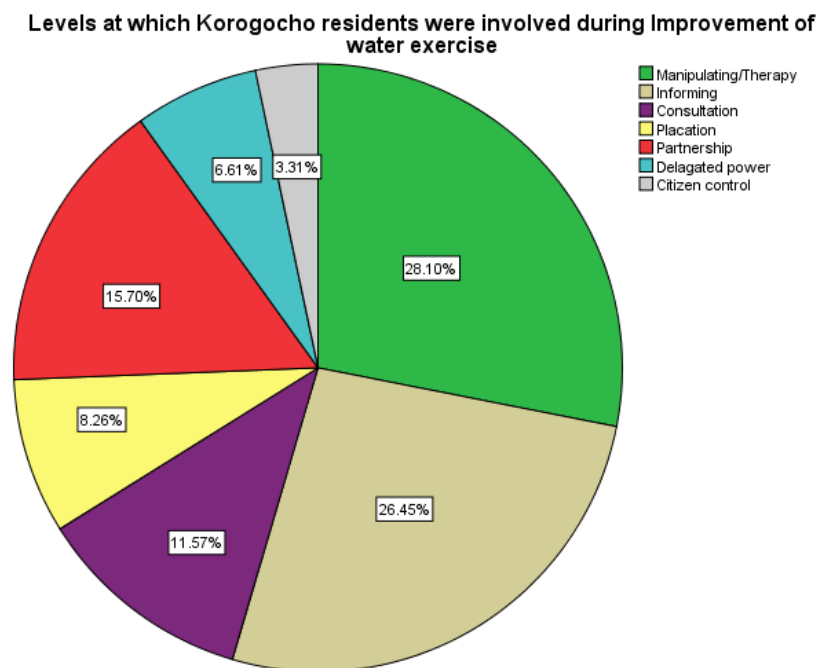
*“As much as the SEC is representative, it is skewed towards village elders. We need more of women and the youth in the SEC” – Resident, korogocho*

An analysis of the qualitative data reveals that the SEC played a significant role in all the phases of the slum upgrading programme. At the inception phase, it created awareness for the programme and the implementing body through massive sensitization, face-to-face conversations and barazas. On the sports ground, the SEC together with the school and ministry of education held meetings to discuss the ownership and sharing of the land with the community. At the implementation phase, it disseminated important information about the programme to the community, reported opinions the community had on the programme and accompanied technical staff during site inspection visits. At the monitoring and evaluation phase, it ensured that the interests of the community were taken care of by playing the role of community watchdog as well as an intermediary between the stakeholders and the community.

### 5.3 Extent of community participation in the upgrade of their settlements

#### 5.3.1 Water Improvement

Sanitation provision is not always a priority demand among disaster affected communities. Other issues such as food, water and health care may present more obvious needs. Figure 5.5, depicts that water is life and sanitation is dignity. The European Commission has been working to increasing access to water and sanitation facilities for Korogocho residents. 28.2% of the residents were involved in manipulating therapy during improvement of water exercise, 26.45% of the residents were involved in informing while 15.7% of the residents were involved in partnership. Also 11.57% of the residents were involved in consultation, 8.26% were involved in placation, 6.61% were involved in delegated power and 3.31% of the residents were involved in citizen control during improvement of water exercise. The statistics shows that the residents were involved during improvement of water exercise. Hence they brought in their contributions in different areas which was important for the project success.

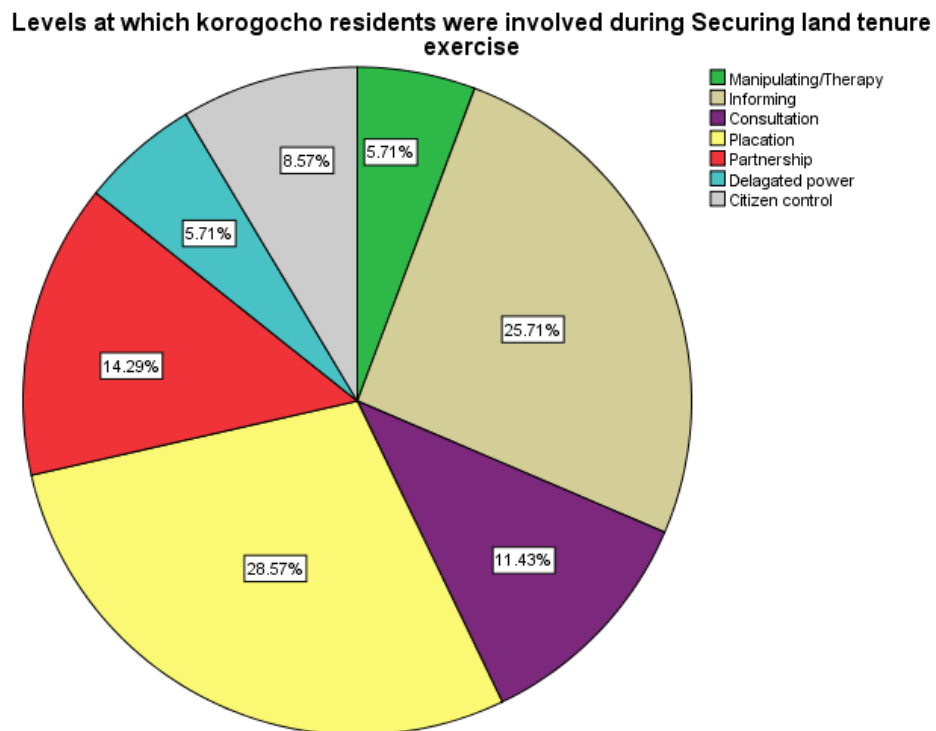


**Figure 5.5: Levels at which Korogocho residents were involved during improvement of Water Exercise**

#### 5.3.2 Land Tenure

The inform level of community participation does not actually provide the opportunity for public participation at all, but rather provides the public with the information they need to

understand the agency decision making process. This level is on the spectrum to remind agencies that sometimes there is no opportunity for the community to influence decision making and simply informing them is the appropriate activity. Figure 5.2 indicates that 25.71% of the Korogocho residents were involved during the informing stage regarding issues concerning securing land tenure, through market interactions and face to face encounters. This was done by the government officers during sensitization workshops. According to the residents, the information regarding land tenure was their idea since the beginning of the project. Therefore, Manipulating/Therapy and delegation of power came in last with 5.71%, as per the ladder of citizen participation. Minimal involvement was witnessed though residents signed a constituency resident template. The residents of Korogocho said that the resident committee was involved in almost all stages during the exercise of securing land tenure; from the negotiation stage to the documentation stage. This was done through active involvement in meetings as well as deliberations. Currently the land tenure process is still ongoing at Survey of Kenya.

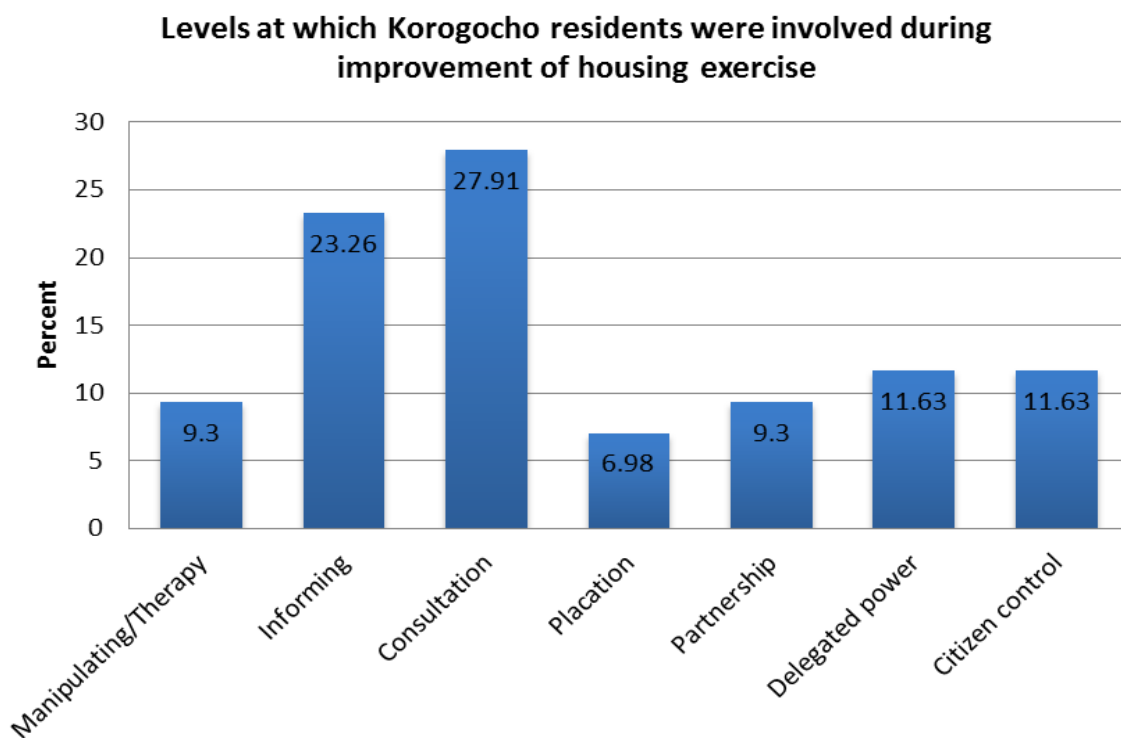


**Figure 5.6: Levels At Which Korogocho Residents Were Involved In Securing Land Tenure**

### 5.3.3 Housing Improvement



The figure 5.7 below indicates that during the exercise of house improvement, only 23.26% of the residents were involved during informing level. The least level which the residents were involved in improving of housing exercise was the placation level at 6.98%. 27.9% of the residents were involved in consultation, 11.6% were involved in citizen control and delegated power while 9.3% were involved in manipulating and partnership. This means that most residents participated in informing the rest of the community about the house improvement exercise and its benefits to them as compared to the residents who were involved in the planning process and decision making in general (placation). This implies that Korogocho residents were scarcely represented in planning of the housing project. The methodology of selection of representatives was biased as the area representative and his close supporters were chosen.

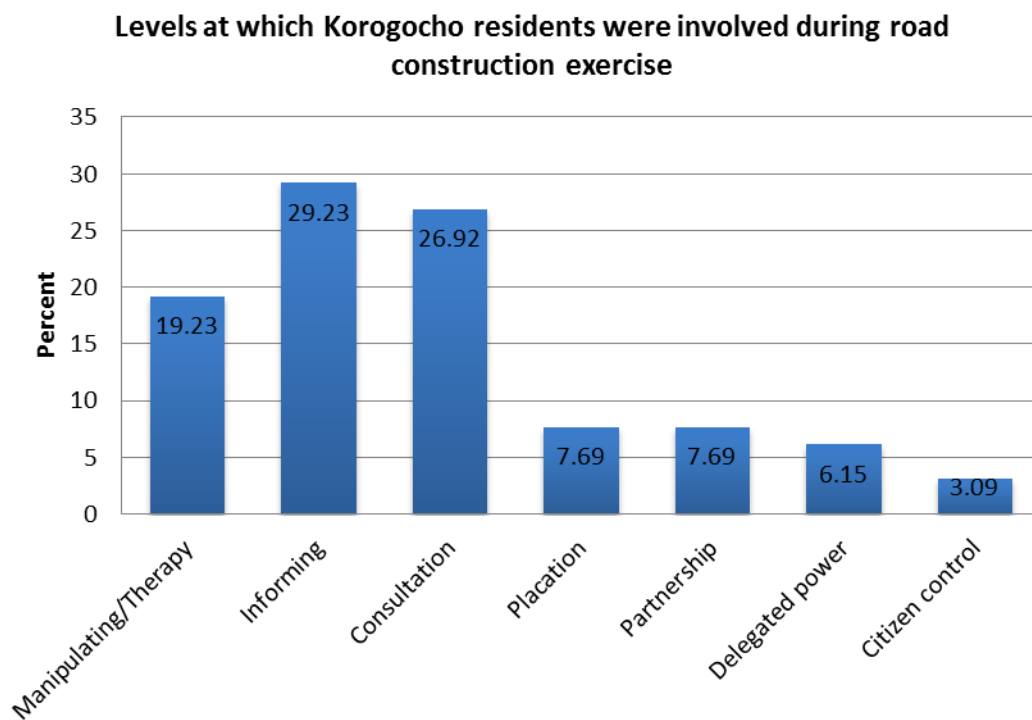


**Figure 5.7: Korogocho residents’ involvement during improvement of housing exercise**

### 5.3.4 Road Construction

The figure 5.8 below indicates that during road construction exercise, 29.23% of the residents were involved at the informing level followed by consultation level whereby 26.92% of the residents were involved, 19.23% of the citizens were involved in manipulating/therapy while 7.69% were involved in placation and partnership. 6.15% were involved in delegation of power. Citizen control level was the last with 3.09%. Residents had little or no control over

the road construction as state leadership and financiers had already decided on it. This was due to the fact that it was the road construction company that was involved at this particular level due to expertise. The contracted company employed some of the residents to provide unspecialized labor during the road construction project.

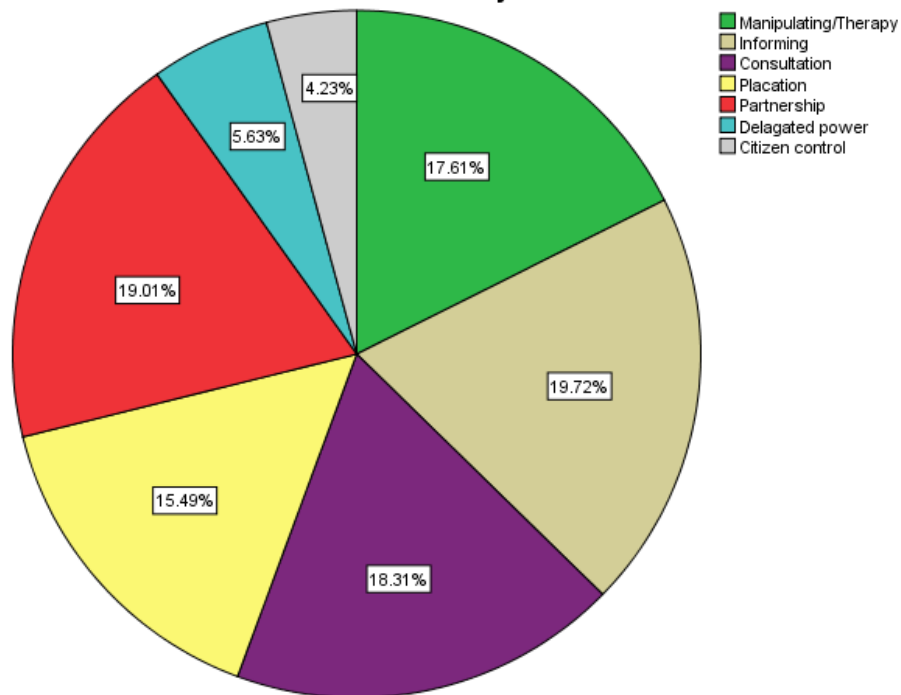


**Figure 5.8: Levels at which Korogocho residents were involved during road construction**

### 5.3.5 Sanitary Facilities

The figure 5.9 below shows that during the exercise of improving sanitary facilities, residents were involved during the partnership and informing levels at 19.01% and 19.72% respectively. Unlike the other activities, Manipulating/therapy level followed closely with 17.61% being involved through seminars covering all the 8villages in Korogocho. The residents participated in improving the sanitary conditions because they had always longed for better sanitary facilities.

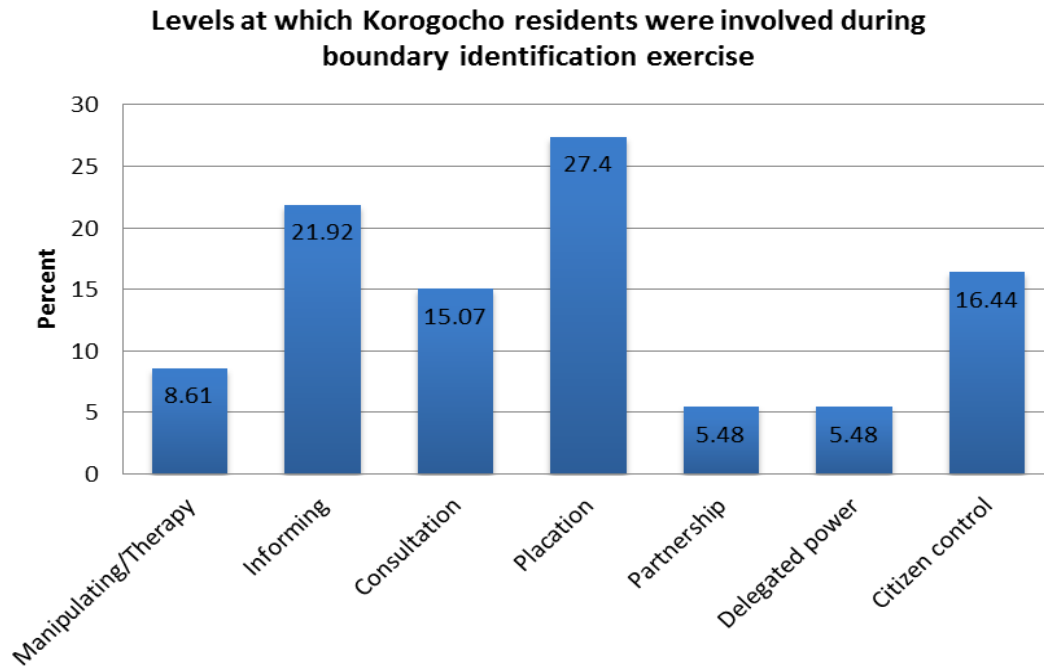
**Levels at which Korogocho residents were involved during improvement and construction of sanitary facilities exercise**



**Figure 5.9: Levels at which Korogocho residents were involved during improvement and construction of sanitary facilities**

### 5.3.6 Boundary Identification

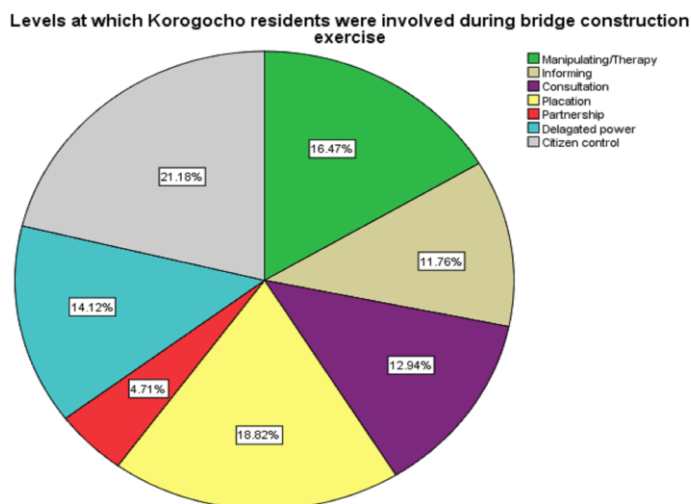
The figure below indicates that the Korogocho residents were mostly involved during the placation level at 27.40%. Considerable intervention is required from residents and particularly area leadership and individuals above 45 years on this level. It is followed by informing level at 21.92% during church services and family interactions. The least levels which the residents of Korogocho were involved during the exercise were partnership and delegated power at 5.48% each. Residents were not actively involved in boundary fixation. Identification of the boundaries was important because it provided a clear distance between the area of construction and the resident's housing. The residents assisted in the identification, this implies that they are concerned about the upgrading process since it will be important to their lives and their future generations.



**Figure 5.10: Levels at which residents were involved during boundary identification exercise**

### 5.3.7 Bridge Construction

During bridge construction in Korogocho, the residents were involved in the citizen control level and labor provision at 21.18%. Like boundary identification, information was channeled through family interactions and church meetings. The residents were least involved during the partnership level at 4.71%. The leadership and residents didn't fully partner since the residents had long lost trust in their leadership. This was reported to the heads of the projects with an aim of seeking a solution.



## **Figure 5.11: Levels at which residents were involved during bridge construction**

### **5.4. Main challenges of community participation in slum upgrading projects**

A content analysis of the household interviews reveals that while there is a positive attitude towards the settlement executive committee, there is still a feeling of lack cooperation between the community and project stakeholders. Some members of the public mistrust the settlement executive committee as they feel it lack appropriate coordination strategies to properly involve them. The findings further show that few respondents had been involved in the community participation process of the slum upgrading project. This has resulted in some Korogocho residents feeling left out and a perception of outsiders not listening to the community or the community's opinions never been taken seriously.

*“I have never been involved in any community participation process for this programme, although I think even if I do, no one will take my opinions seriously”* resident, Korogocho.

For those who were involved in the community participation, lack of participation in the planning and decision making phase of the project was a major issue. The lack of participation in this phase meant that the project didn't fit well with the demands and needs of the community such as implementation and decisions on alternative construction designs. A thematic analysis of key informant interviews and focus group discussions revealed a myriad of challenges facing the settlement executive committee. The main challenges include; project stakeholders ignoring SEC views. The SEC as an institutional setup under slum upgrading hasn't been replicated in other slum upgrading projects and thus project stakeholders who have participated in other similar projects will have a tendency to ignore SECs views. Secondly, political interference from ex-officio members of the committee as well as Korogocho Welfare Association inhibits a sustainable community participation process. Most informal settlements tend to have complex and homogenous environments, diverse vested interests from ex-officio members (mostly seeking elective seats) results in conflicts and thus hampering proper community participation. Thirdly, community members aren't aware about their role as key stake holders of slum upgrading projects as well as the lack of commitment by SEC members. SEC plays a significant role in capacity building of communities and creating awareness about slum upgrading projects. But the lack of commitment by its members, who

participate voluntarily coupled with lack of resources to conduct the committees tasks as well as elements non-inclusivity in its composition especially from disadvantaged groups limits community participation in such projects

## **CHAPTER SIX: DISCUSSION, CONCLUSION AND RECOMMENDATION**

### **6.0 Discussion**

Contrary to many other studies, this study had more female respondents than males. Nyaigo in his study had more male respondents (58%) than women (2014). Other studies having the same trend include; Kingori, whose study had more male respondents (62.1%) than female respondents (37.9%) (2014) and Njeru & Kimutai's, whose study had more male respondents (63.8%) than female respondents (36.2%) (2018). The difference in findings can be attributed to women being more approachable compared to their male counterparts in this study. Also, the household surveys were conducted on weekdays when the women who take daily care of the housework were readily available while the men were said to be busy in their informal businesses.

This study found that there exists a settlement executive committee in Korogocho which comprises of members representing different interest groups in every village. In each of the 8 villages there's representation for the youth, women, tenants, landlords and village elders. These findings are consistent with Kingori's findings in the same area (2014). In other studies, composition of settlement executive committees comprise of representation from different interest groups such as; widowers/widows, those that are physically challenged, marginalized groups, CBOs, FBOs, NGOs, tenants and landlords (Nyaigo, 2014). In this study, village elders were the majority while in Nyaigo's study, it was the tenants and landlords (2014). The roles of the SEC in this study included; creating awareness and massive sensitization at the inception phase, dissemination of information and reporting of opinions at the implementation phase and ensuring the interests of the community are taken care of in the monitoring and evaluation phase. These findings are consistent with findings from other studies within the same area (Kingori, 2014; Njeru & Kimutai, 2018). Other studies in different parts of

Kenya such as Eldoret Municipality and different parts of the world such as Buenos Aires in Argentina had similar findings, indicating the significant roles settlement executive committees play (Nyaigo, 2014; Bergman, 2016).

This study found that the community participated in all phases of key projects in the slum upgrade programme. These projects include; water improvement, securing land tenure, housing improvement, road construction, sanitary facilities, boundary identification and bridge construction. The community participated in 3 phases of the project, that is, at the inception phase, implementation phase and at the monitoring and evaluation phase. Levels of participation included; citizen control, placation, partnership, consultation, informing and delegated power. This is similar to findings made by Nyaigo in his study of challenges faced by SEC in Eldoret Municipality (2014). Mithai in his study of community participation in Huruma slum upgrading project also made similar findings, although in his study, the community was more involved in the planning phase of the project (2012). Similar findings to this study were also made by Flinck in his study of community participation in Kibera (2017), Njeru & Kimutai in their study of community participation in project management of slum upgrading projects in Korogocho (2018) and Kingori in his study of influence of community participation in project management in Korogocho (2014). The similarity in findings can be attributed to all the studies being conducted within the same geographical location.

The main challenges experienced by the SEC in this study included; mistrust from some members of the community, SEC opinions being ignored by project stakeholders, political interference, lack of resources and commitment from its members. Similar findings to this study were made by Ndukui in his study of the challenges of slum upgrading in Kibera. Although in his study he took a more general approach of the challenges facing slum upgrading



as a whole, specific findings on community participation were similar to the ones in this study (2013). Flinck in his study of community participation in slum upgrading in Kibera also made similar findings in addition to corruption and cooperation challenges in his study (2017). Nyaigo also made similar findings in his study of the challenges facing SEC in Eldoret Municipality in addition to confusion between implementing partners and unrealistic expectations from the diverse stakeholders who had different interests (2014). In Egypt, Nour found that community participation in the settlement upgrade programme of In Boulaq El Dakroul was largely limited to consultations. While these consultations were important to the project in terms of stimulating new ideas, the sustainability aspect of the project may be at risk as a result of some residents feeling it doesn't cater to their needs (2011). The difference in findings to this study can be attributed to geographical differences of the study sites as well as the level of conflicting ideas and priorities in the communities.

Some of the strategies proposed to improve community participation by the SEC and key stakeholders included; improved community sensitization programs, broadened participation from just consultations to partnerships and delegated power and more awareness programs within the community among others. Similar propositions were shared by the SEC in Eldoret Municipality. In his study, Nyaigo found recommended facilitation of SEC which will in turn lead to more awareness and sensitization campaigns as well as creation of an enabling environment and policies to prevent political interference (2014). Similar to this study's findings, Njeru & Kimutai in their recommendation championed broader participation of the community to ensure sustainability of projects. However, she also recommends minimal community participation at the monitoring and implementation phase as this is detrimental to the success of projects (2018). Nour in his study recommends investment in community participation especially in heterogeneous areas such as Boulaq El Dakroul. This ensures opinions of all in-

terest groups are taken into consideration (2011). The similarity in findings of these studies can be attributed to SECs across geographical barriers having the same challenges.

## **6.1 Recommendations**

In view of the findings and conclusions, this study proposes the following recommendations for Korogocho slum upgrading activities:

There is need for a policy outlining the formation, composition and facilitation of settlement executive committees. This will not only ensure continuity but the efficient and effective functioning of the SEC. The facilitation can either be monetary; to equip the SEC structurally in terms of acquiring an office and allowances to boost members commitment or capacity building facilitation in terms of trainings and benchmarking visits to other SECs.

There is need for a framework outlining community participation in all phases of the project. The framework needs to outline the roles and responsibilities of all the key actors in the project from the planning phase through to the maintenance phase.

The government through the ministry of planning and the county government of Nairobi need to create an enabling environment for settlement executive committees. This includes having budgetary allocations for SECs and provision of institutional frameworks for their initiatives. Also, learning ought to be an integral part of the slum upgrading programme as a base to promote accountability and ownership. Korogocho Slum residents should be asked to participate in training seminars, workshops and conferences on informal settlement improvement.

A more proactive community participation in slum upgrading projects needs to be promoted through mass sensitizations and awareness programs. This county government of Nairobi should lead the way of adopting such programs through the ward representatives and public meetings. On the other hand, the SEC through its members should get feedback from the

community in order to anticipate project issues that could manifest themselves in future. This will enable all stakeholders incorporate community participation in order to deliver the project on time and with enough resources.

## **6.2 Conclusion**

Based on the data analysis and discussion herein, the following conclusions were made;

From the study, one can conclude that the settlement executive committee plays a significant role in ensuring settlement upgrading projects are prosperous. While the SEC is mostly made up of community gatekeepers such as village elders, it also includes representations from women, youth, tenants and landlords. From its composition, it includes all interested parties of the community in the initiation, implementation and monitoring and evaluation phases of the project. The SEC enables both the donors/financiers and beneficiaries have the necessary information on activities on the ground and completion timelines. The SEC also assists in identifying projects that meet the community's needs and fosters accountability and ownership from initiation through to completion.

What emerges from this study is that community participation processes have no predetermined outcomes. While community participation can lead to change and transformation in the social and political patterns, it can sometimes not affect the manner in which decisions are implemented and the associations among different project stakeholders. From the analysis, different projects of the slum upgrading programme had different levels of participation; from mere consultations to partnerships between beneficiaries and stakeholders. The community was mainly involved at the inception, implementation, and monitoring and evaluation phases but not the planning phase. This may be due to the fact that the community lacks the expertise required for this phase.

This case study shows that community participation experiences a myriad of challenges as a result of them acting as a bridge between beneficiaries of the project and donors. Some of the challenges experienced emanate from how the SEC is structured as well as challenges concerned with facilitation. As a result of this community participation in Korogocho slum upgrading activities remains a challenge. This is evidenced by the low percentage of those involved in the various upgrading activities. The lack of awareness of an existing policy by the slum dwellers makes it difficult to fully implement the programme as they don't fully appreciate.

Lastly, as a result of the challenges above, strategies on promotion of participatory mechanisms were proposed. More awareness campaigns, for instance, which are structurally designed to mobilize community participation, can have a significant effect if embedded with other activities aligned with the project and demonstrate the feasibility and seriousness of proposed solutions. Attempts to improve community participation can be successful if accompanied by quick measures corresponding to the priorities and needs of the community.

### **6.3 Area for Further Research**

This study has looked at the nature and level community participation Korogocho in slum upgrading project. Future studies should thus focus on and investigate the different levels of participation and their impact in all phases of a similar project. Such studies should address alternative levels of participation that can be adopted in slum upgrading programmes as well as which ones are effective and efficient in all phases of a similar project.

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## **APPENDICES**

### **APPENDIX 1: INTRODUCTORY LETTER**

Dear Respondent,

I am currently a post-graduate student at the University of Nairobi pursuing a Masters of Art Planning degree. I am required to conduct a research on the Community Participation in the informal settlement Upgrading- A case of Korogocho Slums in Nairobi-Kenya. You can greatly contribute towards the attainment of the goal by giving your honest responses. Any additional information will be highly appreciated and you may write them behind the questionnaire or use additional paper.

The information so obtained shall be exclusively confidential. Kindly don't write your name anywhere in this questionnaire. Please answer all questions by putting a tick in the brackets and/or giving explanations where necessary.

Yours faithfully,

Ipambe Eunice.

Post graduate student.

## APPENDIX 2: QUESTIONNAIRE FOR THE COMMUNITY



**UNIVERSITY OF NAIROBI**  
**SCHOOL OF BUILT ENVIRONMENT**  
**DEPARTMENT OF URBAN AND REGIONAL PLANNING**

### INTRODUCTION

This questionnaire is meant to help in achieving the objectives of a research entitled *community participation in the informal settlement upgrading, a case study of Korogocho Location, Nairobi*. The aim of the research is to determine the levels, nature and the impacts of involving the community in upgrading their settlement. Your participation will contribute to further understanding of the levels, nature as well as the impacts of involving community in upgrading their settlement.

**NOTE:** The information you provide will be treated confidentially and will be used solely for the purposes of this research.

<b>1. Name of the respondent</b>	<b>2. Village</b>	<b>3. Mobile No</b>	<b>4. Name of the interviewer/ Mobile No./ID No.</b>

**General information about community participation and informal settlement upgrading**

1. Have you ever participated in any upgrading activity in Korogocho? YES NO
2. If yes, Please answer the following questions.

**SECTION A: Demographic Information**

Please tick (✓) in the space provided.

1. What is your gender?

Male [ ] Female [ ]

2. What is your age bracket?

25 – 30 years [ ] 31 – 35 years [ ] 36 – 40 years [ ]

41 – 45 years [ ] 46 – 50 years [ ] 51 years and above [ ]

3. What is your academic and professional qualification?

Primary School [ ] Secondary School [ ] College level [ ] University level [ ]

Any other (specify) -----

4. How long have you lived in Korogocho Slums

-----

**SECTION B.**

**Items on the extent to which community capacity building was done in the upgrading of their settlement?**

5. Were the communities in Korogocho slums trained by the project implementers?

Yes ( ) No ( )

6. How were the training done?

Meetings ( ) Widespread training in the village ( ) Workshops ( )

Others ( ) (Please explain) -----

7. What language was used to train the community?

English ( ) Kiswahili ( ) others (Please mention them) -----

8. The following are some of the areas that training and capacity building for the community should be done to facilitate participation. Using the scale given, please rate by ticking to show whether the same was adhered to in Korogocho Slum Upgrading project

**1. Strongly disagree; 2. Disagree; 3. Neither agree nor disagree 4. Agree; 5. Strongly agree**

<b>Purpose of training the community</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
The residents rights in the upgrading					
The benefit from the upgrading project					
Land tenure					
Housing and land rights					
Build consensus around issues of land and structure entitlements					
Mobilize the community to advocate for these rights					
Strengthening the link between the population and the project implementers					
Creating trust and establishing a working relationship between socio-technical support providers and local residents					
Creating a core group of community organizers with attitudes and skills that would be necessary throughout the project					
Building community's diversity					
Being informed of what was happening including how decisions were made at all stages of the project					
Discussing the house design					
Teaching the community members various construction skills					

### **SECTION C:**

#### **Items on Criteria used to identifying residents committee (RC)**

9. Below are ways in which Community Representatives are selected in slum upgrading process.

Please indicate by ticking in the boxes the way in which they were selected in Korogocho

Volunteering ( ) Handpicked by lanners ( ) Chosen by ward committees/ Councilor ( )  
 Identified by attendance of meetings in churches, schools and other community buildings ( )

Holding election ( ) Online participation ( ) Elections ( )

10. The following are criteria's that should be considered when selecting the community representatives. Please rate by ticking to show whether the following was adhered to in Korogocho Slum Upgrading project.

**1. Strongly disagree; 2. Disagree; 3. Neither agree or disagree 4. Agree; 5. Strongly agree**

<b>Criteria used to select community representative</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Balance of male and female participants					
Occupations					
Ages					
Education levels					
Life experiences					
Religious and political orientations					
Ethnicity,					
Geographical representation of Korogocho					
Length of time/stay in the community					
Employment status (retirees, volunteers, full-time employed persons etc.)					
Private sector, large business, small business					
Religious/spiritual community					
Professions					
Hospital and public sector					
Key interests related to the issue					
Credibility in the community					

**SECTION D**

**Items on Levels of involvement of community participation in the slum upgrading**

11. The following are show the levels in which communities are involved in slum upgrading. Kindly tick in the box that corresponds with response that best show the extent to which the community in Korogocho was involvement in the slum upgrading.

**1. Strongly disagree; 2. Disagree; 3. Neither agree nor disagree 4. Agree;**

**5. Strongly agree**

<b>Levels of involvement</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
They assessed the proposals at different stages of the process					
Communities were asked to participate in workshops and discussions draw and visualize their visions					
Final design was carried out by the professionals with the ideas of the community in mind					
Pressuring the upgrading agent to perform					
Better assessment of needs on what is needed & where					
Solving problems such as resettlements and collection rates.					
Drawing up housing lists for the eligible residents					
Monitoring any newcomers that arrive so they do not take advantage of the upgrade.					
Facilitate the entry and movement of builders, engineers, water and sanitation officials and so forth during the feasibility and implementation phases of settlement upgrade					
Accompanying the service providers to ensure their safety in the unfamiliar place					
Answering questions from residents about who the service providers were and what they were doing from the residents.					



Learning from these professionals what exactly they were doing and why					
They were involved in some formal decision making.					
They attended meetings with the implementing agents and local councillor in order to ensure the representation					
They relayed information back to residents					
They prohibit the building of shacks and poorly constructed extensions after the upgrading.					
Community was given jobs to work in the upgrading					

12. What are some of the advantages of involving the community in the slum upgrading?  
Please explain

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**SECTION E**

**Conveyance of Information to the community**

1. Were you satisfied on how the information was conveyed to you? YES NO  
(b) If YES, please give reasons

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.....  
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.....

(c) If NO, please give reasons

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.....

2. Do you think every resident got the information in your village? YES NO

(b) Please rate the above question 7 out of ten .....

.....

3. How would you prefer the information to be conveyed to you? (a)Media, (b) Announcement (Mobile speaker ) (c) Sign board notices (d) Neighbors/friends/RC/chief (e) Other specify.....

4. Which of the following levels did you participate?

<b>Level participated</b>	
1 & 2	<b>Manipulation/Therapy</b> (This is where the decisions are made about the upgrading activity, community are just told about the activity.)
3	<b>Informing</b> (This is where the community knows about informal settlement upgrading activity through media, newspapers etc.) Nobody tells them, they come to learn about it by themselves
4	<b>Consultation</b> (This is where the communities opinion are taken into consideration)
5	<b>Placation</b> (This is where some of the community members are selected to represent other residents in meetings concerning the informal settlement upgrading)
6	<b>Partnership</b> (This is where communities are involved in creating partnership with the sponsors/initiators)
7	<b>Delegated power</b> (Community taking control of the slum upgrading activity)
8	<b>Citizen Control</b> (This is where powers are given to communities to control the informal settlement upgrading activity e.g through referendums or any other signed document or accepted laws, by laws etc)

Informal Settlement Upgrading Activities	Levels Participated
Solid waste management	
Improvement of Water	
Securing land tenure	
Improvement of housing	
Construction of roads	
Improvement and construction of sanitary facilities	
Improvement and construction of health facilities	
Street lighting	
Boundary identification	
Bridge construction	

**Nature/Form of Community Participation**

5. How were you involved during the upgrading of the settlement? (a)Attending meetings  
 (b) Being employed in informal settlement upgrading activities (c) Other specify

.....  
 .....  
 .....  
 .....

6. Were you satisfied on how you were involved in upgrading your settlement? YES NO  
 (b) If NO, Please give reasons

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 .....

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.....  
7. Given a chance, how would you like to be involved in upgrading your settlement?

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8. Are there any challenges you faced when you were involved in upgrading your settlement? **YES/ NO.**

(b)If **YES**, what were the challenges?.....

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.....  
.....

(c)How were the challenges solved?

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.....

9. Are you aware of your rights to participate in upgrading your settlement according to the relevant existing laws in Kenya? **YES NO**

(b)If yes, which law(s)?.....

.....  
.....  
.....

10. Was there any gender balance observed when involving communities in upgrading Korogocho settlement? **YES NO**

(b)Please rate the above out of ten (a) Women.....(b) Men.....(c) Youth.....(d) The elderly.....(e) The disabled.....

11. Have you ever heard about any other informal settlement outside Korogocho which was upgraded and succeeded due to involving the communities? YES NO

(b)If yes, please list down the informal settlement(s)

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.....  
.....  
.....

12. Have you ever heard about any other informal settlement which was upgraded and failed due to involving communities? YES NO

(b)If yes, please list down the informal settlement(s)

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.....  
.....

13. What is your opinion about community participation in informal settlement upgrading?

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.....  
.....

14. Given a chance, what would you change about involving communities in upgrading their settlement?

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.....  
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**APPENDIX 3: QUESTIONNAIRE FOR KEY INFORMANTS**

**COMMUNITY PARTICIPATION IN INFORMAL SETTLEMENT UPGRADING.**

**A CASE STUDY OF KOROGOCHO LOCATION NAIROBI**

*Key informant interview schedule*

Name.....Designation.....

....

Tel/Mobile Num-

ber.....Email.....

1. When did Korogocho slum upgrading begin?

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.....

2. Why Korogocho for upgrading?

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3. What guided the upgrading of Korogocho?

4. Who sponsored upgrading activities in Korogocho?

Sponsors	Upgrading Activities	Implementing agency	Year started	Year Completed	Challenges faced

6. Who were the main stakeholders in Korogocho Slum Upgrading?

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7. Were the local residents of Korogocho involved in upgrading their settlement?

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8. How were they involved?

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9. At what stages of upgrading were they involved?

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10. What challenges did you face by involving the residents of Korogocho in slum upgrading? .....

11. How did you solve the challenges?

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12. What were the benefits of involving the community in upgrading their settlement?

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13. Was there anyone who opposed upgrading of Korogocho?

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14. What were there reasons for opposing upgrading of Korogocho?

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.....  
.....

15. Any comments or additional information on community participation in slum upgrading?

.....



## 16 Levels of community participation in Korogocho Slum Upgrading

<b>Informal Settlement Upgrading Activities</b>	<b>Activity participated</b> 1 YES. 2. NO.	<b>Year started</b> (a) 1980-1985 (b) 1986-1990 (c) 1991-1995 (d) 1996-2000 (e) 2001-2005 (f) 2006-2010 (g) 2011-2014	<b>How did you know</b> (a)Media, (b) Announcement (Mobile speaker ) (c) Sign board notices (d) Neighbors/friends/R C/chief (e) Other specify	<b>Initiators/Sponsors</b> (a) Government (b) NGO (c) CBOs (d) FBOs(c) Private individual (d) other specify	<b>Implementation Status</b> (a)Successful (b) Ongoing (c) Partly (d) Failed	<b>Implementers</b> (a)Initiators/sponsors(b) Community(c)Other specify	<b>Professional's involved</b> (a) Urban planners(b) Surveyors(c) Social Planner (d)Health officer (d) Environment (e)Architects (f)Engineers
Solid waste management							
Improvement of Water							
Securing land tenure							
Improvement of housing							
Construction of roads							
Improvement and construction of sanitary facilities							
Improvement and construction of health facilities							
Street lighting							
Boundary							

#### **APPENDIX 4: QUESTIONNAIRE FOR CBOs and FBOs**

##### **Interview Schedule for Community Based Organizations (CBOs) and Faith Based Organizations (FBOs) involved in the slum upgrading**

1. Were the communities in Korogocho slums trained by the project implementers?  
Yes ( )                      No ( )
2. How was the training done?
3. What language was used to train the community?
4. Mention some of the areas that training and capacity building for the community was done.
5. How were the Community Representatives selected in slum upgrading process?
6. What are some of the criteria that were considered when selecting the community representatives?
7. Kindly mention some of the roles and levels in which communities were involved in slum upgrading.

## **APPENDIX 5: INTERVIEW GUIDES/SCHEDULES**

### **Interview guides for focus group discussion**

1. Were the communities in Korogocho slums trained by the project implementers?

Yes ( )                      No ( )

2. How was the training done?

3. What language was used to train the community?

4. Mention some of the areas that training and capacity building for the community was done.

5. How were the Community Representatives selected in slum upgrading process?

6. What are some of the criteria that were considered when selecting the community representatives?

7. Kindly mention some of the roles and levels in which communities were involved in slum upgrading

**APPENDIX 6: RESEARCH BUDGET**

<b>Item</b>	<b>Specifications</b>	<b>No.</b>	<b>Amount (Kshs.)</b>
1. Personal Costs	Research as- sistants	16	12,800
2. Support ser- vices	Secretarial costs /data in- put analysis	1	4,000
3. Field work costs	Transport	1	500
4. Binding	Reports	12	960
5. Printing	Reports	12	1200
6. Photocopying	Questionnaire	95	190
7. Other	Internet ser- vices	-	5,000
8. Miscellaneous	-	-	1635
Total	-	-	17,985

### APPENDIX 7: RESEARCH WORK PLAN

ACTIVITY/TIME FRAME(in weeks)													
1. Formulation of research problem													
2. Literature review													
3. Preparation of draft questionnaire													
4. Defending the research proposal													
5. Preparation of the final questionnaire													
6. Data collection													
7. Data analysis													
8. Preparing the first draft													
9. Preparing the final draft													
10. Printing , binding and submission													

