

**FACTORS INFLUENCING OCCUPANCY LEVEL OF HOUSES  
IN SLUM UPGRADING PROJECTS: A CASE OF KIBRA SOWETO-EAST IN  
NAIROBI COUNTY, KENYA**

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University of Nairobi**

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## DECLARATION

This research project report is my original work and has not been presented before for any award in this or any other University.

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L50/82471/2012

The research project report has been submitted for examination with my approval as the University Supervisor.

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## **DEDICATION**

This Project is dedicated to my husband Gerry Kweya; my children Obed, Naomi, Emmanuel and Christian; my parents the late Thomas Jeremy Mbula and Mary Mbula; my siblings Beatrice, the late Edward, Esther, and Kyalo for their love, consistent prayers, commitment to my education, and support both moral and material; and to all those who supported me in the completion of this Project writing. Thank you and God bless you abundantly.

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## **ABBREVIATIONS AND ACRONYMS**

<b>ADB</b>	African Development Bank
<b>CBO</b>	Community Based Organizations
<b>GOK</b>	Government of Kenya
<b>IDB</b>	International Development Bank
<b>KENSUP</b>	Kenya Slum Upgrading Programme
<b>MDGs</b>	Millennium Development Goals
<b>NHC</b>	National Housing Cooperation
<b>NCC</b>	Nairobi County Council
<b>UN HABITAT</b>	United Nations Human Settlement Programme
<b>UNDP</b>	United Nations Development Programme
<b>USAID</b>	United States Agency for International Development
<b>USA</b>	United States of America

## ABSTRACT

The purpose of this study was to establish the factors influencing occupancy level of houses in slum upgrading projects; a case of Kibra Soweto-East in Nairobi County. Urbanization plays a major role in the development of slums and informal settlements which has become a major problem in Kenya. In an effort to improve the livelihood of slum dwellers, the Government of Kenya initiated the Kenya Slum Upgrading Programme (KENSUP) in 2001. By 2003 a Memorandum of Understanding was signed between the Government of Kenya and UN-Habitat outlining a strategy for project implementation by KENSUP whose mandate is to improve the livelihood of 5.3 million slum dwellers in Kenya by 2020. The study was guided by the following objectives: To establish how affordability influences occupancy level of houses in slum upgrading projects; To ascertain how social networks influences occupancy level of houses in slum upgrading projects; To determine how stakeholder involvement influences occupancy level of houses in slum upgrading projects and to determine how UN Habitat housing standards influences occupancy level of houses in slum upgrading projects. The descriptive survey design was used for the study. The research instruments used were a questionnaire for occupants of the Kibra Soweto-East upgraded houses and an interview guide for KENSUP project officials. Quantitative data collected was analyzed by descriptive statistics while content analysis techniques were used to analyze qualitative data. Descriptive statistics such as frequencies and percentages were used to describe the data. The analyzed data was then presented in form of tables. From the findings, 78% of the respondents agreed to a very high extent that affordability influences occupancy level of slum upgraded houses. In terms of social networks, 63% strongly agreed that it does influence occupancy level of houses in slum upgrading projects. In investigating the influence of stakeholder's involvement on occupancy level of houses, it was established that 63% were influenced by level of involvement. In assessing the influence of UN-Habitat standards on occupancy level of the upgraded houses, it was established that it influences the respondents with 64% indicating that it would to a very high extent. In conclusion, the study found that all the independent variables of the study which are affordability, social networks, stakeholder's involvement and compliance to the UN-Habitat standards influence occupancy level of houses in slum upgrading projects. The study recommends that the Government of Kenya should take immediate deliberate steps to ensure that well targeted and transparent house rent subsidies are developed for the lower percentile income groups; slum upgrading projects should be implemented through improved urban planning practices coupled with recommended inbuilt poverty eradication measures; slum upgrading projects should be designed and planned in such a way that they provide for open air community spaces for small scale retail businesses; Community members should be encouraged to participate through a participatory approach to strengthen the citizen's voice at all stages of the project cycle and finally the UN-Habitat standards should be integrated as part of the slum upgrading policies to ensure that at a minimum the houses are affordable, in a good location with availability of services, habitable, accessible, have security of tenure and cultural adequacy.

## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.1 Background to the Study**

It is estimated that over a billion people live in slums and informal settlements in the cities of the world. Urbanization is happening at a very fast rate with an estimated urban population of almost five billion projected by 2030. Most of the increasing urbanization will take place in developing countries mainly in Asia and Africa where one-third of all urban residents are estimated to fall below the poverty level. Over 300 million urban poor live in informal settlements, this population is made of over 200 million in Asia, 50 million in Latin America and over 60 million in other African cities which are experiencing high population growth (Sandhu, 1989). In Kenya, life is unbearable for the population that lives in the slums and informal settlements of capital city Nairobi. Approximately 60% of Nairobi dwellers live in the slums and informal settlements yet they are squeezed in less than 5% of the residential area. According to Odero (2010) people living in the slums have minimal access to clean water, inadequate number of good schools, limited access to social amenities, poor sanitation, and wide spread social-cultural conflicts. In addition, these individuals are exposed to the threats of forceful evictions from the illegal structures they have made home.

The Maslow's theory of needs states that shelter is one of the basic human requirements and as such decent and proper housing leads to the fulfillment of human needs at the bottom of the pyramid. This means that decent housing and settlement programs are a major boost in the realization of human needs. According to Kamna (2013) the increasing number of slum dwellers is not only a Kenyan problem but also a major blow to the entire world. This high number is worrying leading to the importance of housing being further emphasized in the millennium development goals (MDGs) particularly with number 7 which explicitly advocates for better housing for more than 100 million slum dwellers across the world. The UN-Habitat has been spearheading the implementation of this goal. Tunisia has eradicated the population in the slums completely while Libya, Egypt and Morocco have reduced their slum population by half. Nigeria, Uganda and South Africa reported a 25% reduction in the number of slum dwellers. However, Kenya has been lagging behind in the achievement of this goal. By the year 2010, the

population in the Kenyan slums was about 7 million, a 5% increase from the previous years (UN-Habitat, 2003). If the same trend is to go by, then Kenya will not accomplish the vision set in the MDGs, instead increase in challenges that come along with an increasing population in the informal settlements will be observed.

The Kenyan government treated rural and urban municipalities as identical leading to the failure in improvement of the housing conditions in the city. As a result, the Kenya Slum Upgrading Programme (KENSUP) was formulated to offer funds and maximum efforts towards the improvement of the living conditions in the slums. KENSUP started with the Kibra Soweto-East Upgrading Project that was to address the living conditions of the people living in Kibra slums. The government of Kenya and the UN Habitat implemented this project designed to improve the housing conditions, social amenities and infrastructure in this informal settlement. However, complaints have been raised that the beneficiaries of the said project did not benefit rather the middle class occupied the houses that were meant for the slum dwellers. In fact, it is reported that some of the beneficiaries of the project rented out the houses and moved back to the slums. Inspired by this, the proposed study will determine the factors influencing occupancy levels of the houses built under the Kibra Soweto-East Upgrading Project.

## **1.2 Statement of the Problem**

Cities in Africa, Asia, Latin America and the Pacific have people living in informal settlements. A smaller number lives in cities in the developed world who account for only 6% of the total population. These informal settlements have formed mainly because Governments fail to plan and provide affordable housing to low income earners in urban areas leading to a crisis in the urbanization process (Amnesty International, 2009). There has been a high growth rate of informal housing in Kenya since 1960s due to a large deficit of formal housing. The Welfare Monitoring Survey, indicates that Kisumu, Nairobi and Mombasa have poverty rates of 63 percent, 50 percent and 38 percent respectively (UN-Habitat, 2003). Kibra is the largest slum in Nairobi and the most populated place on earth housing over 600,000 people according to a situational analysis done in 2011 (Syagga, Mitullah and Gitau, 2011). The land upon which Kibra stands is owned by the Government of Kenya which is yet to recognize the settlement hence most basic services are not publicly provided yet these services serve as the foundation for

survival (Cobbett, 2009). This is an indicator that there is need to have sustainable slum upgrading programs in the country and improve the supply and quality of social housing to low-income earners in an effort to match the rapid population growth.

The Kibra Soweto-East upgrading project was a key initiative designed by the Kenyan government and the UN-Habitat to significantly improve the living conditions of the Kibra slum dwellers. This project had an objective of providing quality housing units to the Kibra slum dwellers that were living in unfavorable conditions in the slums. However, according to Kamna (2013) the majority of the slum dwellers did not move to the houses rather other wealthy individuals occupied the houses. Moreover, (Amnesty International, 2009) have reported that some of the beneficiaries have rented out their houses and moved back to the slums. From all indications, this upgrading project that was designed to improve the living conditions of the slum dwellers may not have accomplished its goal. This study is set out to help assess the factors that influence occupancy levels of slum upgraded housing units, and ascertain the reasons why some of the slum dwellers did not occupy the houses as required.

### **1.3 Purpose of the Study**

The purpose of the study is to establish factors influencing the occupancy level of houses in the Kibra Soweto-East Slum upgrading project.

### **1.4 Research Objectives**

- i. To establish how affordability of houses influences occupancy level of houses in slum upgrading projects.
- ii. To ascertain how social networks influences occupancy level of houses in slum upgrading projects.
- iii. To determine how stakeholders involvement influences occupancy level of houses in slum upgrading projects.
- iv. To determine how UN-Habitat standards influences occupancy level of houses in slum upgrading projects.

### **1.5 Research Questions**

- i. To what extent does affordability influence occupancy level of houses in slum upgrading projects?
- ii. To what extent does social networks influence occupancy level of houses in slum upgrading projects?
- iii. What level of influence does stakeholders' involvement have on occupancy level of houses in slum upgrading projects?
- iv. To what extent does UN-Habitat standards influence occupancy level of houses in slum upgrading projects?

### **1.6 Significance of the Study**

Significance of the study refers to the importance and usefulness of the study undertaken. It gives the effectiveness and justifies the suitability of the project not only to the researcher but to the entire society. The findings of this study may be useful to the researcher, academia, to the government of Kenya and policy makers concerned with the improvement of housing conditions in the cities of Kenya.

To the government, the findings of this study may be useful in providing knowledge on the occupancy levels of upgraded housing units that have been reported in the slums. In addition, information will be provided on the extent to which the identified factors influence the occupancy levels for the government to make adjustments that will ensure high occupancy levels are reported in the future. The findings of the study may be useful to policy makers in identifying areas where failure has been reported in the upgrading project for further adjustments to be made. In addition, they may be able to know the factors that influence occupancy levels to ensure that future projects address the drawbacks observed in the current project. The research gap that this study seeks to fill may be beneficial to the academia since the findings will add onto the literature on factors that influence occupancy levels of upgraded houses in slum upgrading projects. This study may enhance the ability of the researcher to carry out critical review of literature, collect data, and analyze the raw data collected to adequately respond to the research questions of the study.



### **1.7 Delimitation of the Study**

This study will be confined to the slum upgrading project in Kibra Soweto-East village in Nairobi only. The study will cover the beneficiaries of the upgrading project and the KENSUP officials involved only. The occupancy level of houses in upgrading projects in any other slum in the Kenya will not be studied.

### **1.8 Limitations of the Study**

The inaccessibility to the beneficiaries of the Kibra slum upgrading project is a major challenge since majority have since moved back to the slums. It is also expected that the beneficiaries that were present at the time of the project initiation are likely to be difficult to find since new people move into the slum almost on a daily basis. Also access to information might be difficult due to fear by the beneficiaries of being victimized for giving information. However, assistance from the area chief will be sought and a list of beneficiaries of this project including their contacts can be accessed from the KENSUP offices in Kibra. Access to secondary data from UN-Habitat will provide the necessary information required for the completion of the research report.

### **1.9 Assumptions of the Study**

The assumption in this study was that the target population would be available and cooperate by telling the truth. In addition, it was assumed that the respondents involved in the study would provide accurate and reliable information on the survey questions that were distributed.

### **1.10 Definition of Significant Terms**

**Affordability:** This is ensuring that the cost of houses does not threaten or compromise the occupants' enjoyment of other human rights.

**Compliance to UN-Habitat Standards:** To act in accordance with the UN-Habitat requirements which indicate that for housing to be adequate, it must, at a minimum, meet the following criteria: Security of tenure; housing is not adequate if its occupants do not have a degree of tenure security which guarantees legal protection against forced evictions, harassment and other threats; Availability of services; materials, facilities and infrastructure: housing is not adequate if its occupants do not have safe drinking water, adequate sanitation, energy for cooking, heating,

lighting, food storage or refuse disposal; Affordability; housing is not adequate if its cost threatens or compromises the occupants' enjoyment of other human rights; Habitability; housing is not adequate if it does not guarantee physical safety or provide adequate space, as well as protection against the cold, damp, heat, rain, wind, other threats to health and structural hazards; Accessibility; housing is not adequate if the specific needs of disadvantaged and marginalized groups are not taken into account; Location; housing is not adequate if it is cut off from employment opportunities, health-care services, schools, childcare centers and other social facilities, or if located in polluted or dangerous areas; Cultural adequacy; housing is not adequate if it does not respect and take into account the expression of cultural identity.

**Occupancy level of houses:** Refers to the number of houses occupied by the targeted beneficiaries in the selected upgrading project. In this study, the occupancy levels will be based on households and not individuals

**Social Networks:** This refers to social interactions, personal relationships and economic activities that the community members in the slums engage in.

**Stakeholders Involvement:** This refers to actively involving community members, donors and other organizations in a project from conceptualization to implementation since they have an interest in the project.

### **1.11 Organization of the study**

The study is organized into five chapters namely Introduction, Literature review, Research Methodology, Data Analysis, Presentation, Interpretation and Discussions and Summary of Findings, Conclusions and Recommendations. Chapter one focuses on background to the study, statement of the problem, the purpose, objectives and research questions are highlighted. Significance, limitation, delimitations and assumptions of the study are also summarized. Chapter two discusses Literature Review which takes into consideration the empirical review and theoretical framework to develop conceptual framework and knowledge gap. Chapter three summarizes Research Methodology; this covers research design, target population, sampling procedure and sample size, Instruments used while testing and estimating reliability and validity,

data analysis, operationalization of variables and ethical concerns. Chapter four focuses on Data analysis, presentation, interpretation and discussions. Finally chapter five provides summary of findings, conclusions and recommendations of the study.

## CHAPTER TWO

### LITERATURE REVIEW

#### 2.1 Introduction

This chapter explores the study objectives and their influence on occupancy level of houses in slum upgrading projects. The themes of the research are developed from the theoretical and empirical reviews that are relevant from the variables. The chapter is structured into empirical reviews on variables and theoretical framework that will facilitate the development of conceptual framework and the research gap.

#### 2.2 Occupancy Level of Houses in Slum Upgrading Projects

Urbanization has played a major role in the development of informal settlements. Over a billion people throughout the world live in informal settlements, on global scale informal settlements are a significant problem in Africa, Asia and Latin America. After the colonial period cities in these continents grew rapidly during 1960s and 1970s. The influx of people from rural to urban areas has greatly affected settlement patterns leading to the emergence of informal settlements (Navarro, 2008). Rapid urban population growth has put pressure on available job opportunities, social amenities and other important human needs hence the governments especially in African and Asian nations have to deal with a bigger problem emanating from urbanization.

The occupancy of houses refers to the act or condition of being a tenant or of taking up quarters or space in a house as a tenant or the act of exercising dominion over property. While occupancy level refers to the number of people or households that are ready to occupy a certain housing unit. According to Beall (2002) the occupancy levels of any type of houses is dependent on the acceptability of the houses by the individuals. It is reported that unless the features of the house is beneficial to the tenants, then they are unlikely to occupy the houses. There are a number of factors that will influence the occupancy levels of any housing units. These factors can either have positive or negative impacts on the occupancy levels. Marx, Stoker and Suri (2013) have posited that the cost of a housing unit is the major factor that determines the number of households that would be willing to occupy a house. On the other hand, Marx, Stoker and Suri (2013) have also posited that apart from the cost of houses, the kind of neighborhood in terms of physical environment, accessibility to social amenities also influence the occupancy level of any

housing units. As such, inventors need to have this in mind while constructing houses to ensure that there is a high occupancy level.

Factors such as the affordability, security of tenure, accessibility to social amenities and security levels have been identified to influence the occupancy levels of any housing unit. According to Marx, Stoker and Suri (2013) the nature of these factors will determine whether majority of the people will occupy the houses or not. According to Onyiso (2010) the aforementioned factors are mostly applicable to the houses that are constructed by private investors. However, in case, the houses are constructed to support the needy or the less fortunate, then additional factors can also influence the occupancy level of the houses. In his analysis, Wekesa (2011) identified that the houses constructed under the upgrading project of any slum will be automatically occupied by the slum dwellers. He based his argument on the fact that the individuals living in the slums have experienced harsh conditions and will be willing to occupy any houses that seems upgraded from what they had in the slums.

However, Rigon (2014) have disagreed by stating that despite the upgraded house being of higher quality and more favorable than the houses in the slums, the slum dwellers have their reasons for choosing to reside in the slums. In fact, Marx, Stoker and Suri (2013) have identified certain benefits that are experienced by the slum dwellers that cannot be enjoyed by the people living in the well-developed suburbs. Moreover, Wekesa (2011) also argued that despite the disadvantages that living in the slums have, there are certain benefits that these informal settlements have that are desirable to majority of the tenants. For instance, Cities-Alliance (2003) has posited that the kind of networking and communal relationship observed in the slums can be admired by majority of other non-slum dwellers. As such, it is not a guarantee that the slum dwellers will move to upgraded houses if given an opportunity. Rather they must do their cost benefit analysis to evaluate whether moving to those areas are beneficial or not.

According to Bodewes (2010) upgrading of the Kibra houses was seen as the most effective approach of solving the historical problems within this largest slum in the nation. It was expected that any upgrading project would see an increase in the number of houses available for occupancy as well as the provision of the social amenities, infrastructure and other basic needs

that the residents within this slum lacked. The Kibra Soweto-East Upgrading project was initiated in 2004 to support the construction of houses that would be occupied by the residents of the slum. However, as Bodewes (2010) pointed out, the slum will only be eliminated after the relocation to the new houses. The occupancy levels of the new houses are however worrying since they are not fully occupied by the beneficiaries of the project. According to Onyiso (2010) the main goal of the upgrading project may not be accomplished since the rate and level of occupancy is taking longer than expected.

Marx, Stoker and Suri (2013) have identified various factors that affect the occupation of the upgraded housing units in Kibra. Some of the factors are studied in this research and their contribution towards the occupancy levels discussed below.

### **2.3 Affordability and Occupancy Level of Houses in Slum Upgrading Projects**

According to Cities-Alliance (2003) the rent payable for each housing unit determines the number of people willing to occupy them. The income levels of each individual has direct influence on the type of house that he/she can occupy. Majority of the people occupying the Kibra slum houses cannot afford to occupy other houses in different estates. Marx, Stoker and Suri (2013) have identified that the houses in Kibra are relatively cheap in comparison to others hence attracting majority of the individuals with low income levels.

Most studies conducted in Kibra reveal a situation of pervasive poverty and the need for both job provision and entrepreneurial development to enhance housing affordability, which would ensure occupation of the upgraded houses. Gulyani (2006) indicated that at least 30% of Nairobi's population of whom 73% were poor, live in slums and about three quarters of Kibra households live on an income of approximately \$1 per person per day (Mulcahy and Chu, 2007) - the U.N. Standard of poverty. As much as the new houses constructed under the Kibra Soweto-East Upgrading project are of higher quality and convenience, residents of the original Kibra slums are unlikely to occupy them since they are highly priced compared to what they currently pay. The fact that the government went directly into dealing with the poor housing prior to solving the low-income level of the people living in the slums may mean that they will actually not enjoy the benefits of the improved houses if priced higher (Onyiso, 2010). The original residents of Kibra

are only willing to spend a certain amount of their income on rent to ensure that their remaining cash fits within their tight budget. Unless the prices of the new houses lies within the range of that which is considered affordable to the majority of the residents, then the beneficiaries of the upgrading project may after all not occupy the new houses.

Security of tenure is another aspect of cost of the houses that will influence the occupancy levels of the houses build under the Kibra Soweto-East Upgrading project. According to Nilsson (2008) security of tenure is the level of security given to the tenants of particular housing units to stay without paying rent. According to Research International (2006) the landlords to various housing units are legally allowed to evict a tenant in case of failure to pay the rent as agreed in the tenant document. In Kenya, the government has put in place strategies that prevent the marginalized community and poor residents from being evicted by their tenants. This strategy was mainly adopted to reduce the rising cases of homelessness amongst some communities in the country.

The security of tenure to the new houses constructed in Kibra is still unknown to a majority of the slum dwellers. According to Wekesa (2011) the residents of Kibra were expected to move into the houses on completion to assist the government do away with the large informal settlement. However, majority of the people living in Kibra have for a long time enjoyed the security of tenure in relation to payment of rent that was relaxed by the government. In fact, some people were living in houses that they never pay rent for. The occupancy level of the new houses will therefore depend on how the government and other implementers of the project address the issues of security of tenure. Unless the tenants know how much time will be given for them to clear rent arrears, they may be reluctant to move into the new houses.

#### **2.4 Social Networks and Occupancy Level of Houses in Slum Upgrading Projects**

Kibra slums operate as a single large community. In fact, there are a number of villages within the slums where people interact freely as close relatives. The close relations that define families living in Kibra have made their decision to move to upgraded houses take longer than expected. According to Rigon (2014) many consultations are observed amongst different families and individuals prior to settling on a decision. The social networking within slums is so much interlinked such that information flows from one person to the next very easily and within a short

period of time. Ferguson and Navarrete (2003) asserted that the residents of Kibra are greatly influenced and convinced by what they hear. Majority of them therefore make decisions based on influence from their close neighbors. In case, an idea is refuted by the majority within the slums, then there is a high possibility that the majority of the residents will not take part in the activity that was to be initiated. In the case of the Kibra upgrading project, unless the entire community living in these slums accepts the idea of leaving their houses and moving to the new housing units, then the occupancy levels will be largely affected.

The social networks and communal living observed in Kibra slums have also influenced the economic gains of the beneficiaries. It is observed that the people living in this slum have ready markets for their small products due to the kind of social networking observed. For instance, the sale of foodstuff is much easier in the slums than in the enclosed newly constructed apartments. Rigon (2014) also pointed out that the Kibra slum dwellers are involved in a number of group activities that are started to enhance their economic gains. It is therefore important to note that the slum dwellers have chosen this place due to the positive social networking observed and the ability of the networking to enhance their economic gains. The ability of the Kibra slum dwellers to occupy the new housing units will therefore depend on whether this kind of communal and social networking will be observed in the new neighborhood. The social networks developed within Kibra will determine whether the beneficiaries will be occupying the new houses or not.

## **2.5 Stakeholders Involvement and Occupancy Level of Houses in Slum Upgrading Projects**

Stakeholders are all persons that have an interest in the upgrading project. These include the government of Kenya, the sponsors and the beneficiaries of the said project. According to Kagiri (2008), all these individuals need to be involved in the implementation process of the project for it to be successful. The design and implementation of programs should involve the participation of stakeholders. Stakeholder participation is a process that brings together major actors in a program by way of communication, negotiation and decision making with the aim of setting practical solutions. The process should be transparent to improve program outcomes and various interest groups. In this study the major stakeholders who have supported slum upgrading programs include: Government, members of the community, private sector and development



partners. These stakeholders have complemented upgrading programs with income, labor, employment, credit markets and entrepreneurial skills.

The sponsors need to work closely with the government for them to know the needs of the beneficiaries that should be fulfilled at that particular time. On the other hand, the government needs to be involved to bring order in the implementation process of the project and to ensure that there is no interference from any external bodies. As much as the beneficiaries are the individuals that are likely to enjoy the benefits of the project, their participation in the planning to the implementation stage should not be ignored. The new designs and the pricing of the houses must be acceptable to the beneficiaries for them to occupy the new housing units. Minnery (2013) in his analysis identified that if not involved at any stage of the project, Kibra residents are likely to rebel and avoid the newly constructed houses.

Since the construction of the houses requires some of the Kibra residents to relocate to certain regions and provide room for the houses to be constructed, their involvement in the project is key otherwise the success of the project is not guaranteed. According to Nilsson (2008) stakeholders play a major role in ensuring smooth running of any project until completion. The sharing of ideas is vital in ensuring the need of every individual is met. While Turley (2012) argued that the views of all the stakeholders cannot be listened to in any project implementation process, it is vital that their views are heard since they have interest in the project outcome. Failure to involve them in the entire process may lead to reduction in the rate of project implementation or even failure in completion of the project as a whole. The views and needs of all stakeholders to any project need to be considered if success is to be achieved.

Community involvement is an indispensable element in any squatter-settlement upgrading program if the people who originally developed the settlement are now to have the responsibility of improving the houses in the settlement. In a squatter-settlement upgrading program, unlike a conventional housing scheme or a sites-and-services program, the target population is already on site. It is therefore necessary to involve the community in the preparation of the regularization and upgrading plans. Without active co-operation, the plans cannot be implemented. Connor (1997) explains that when stakeholders' input is incorporated early in the development of a

project, controversial issues can be addressed before they become critical and eventually cause major conflicts. Moreover, in view of the magnitude of the housing problem of the urban poor, no government is in a position to finance, on its own, the regularization and upgrading of all squatter settlements in urban areas, and communities, therefore, have to pay all or most of the costs of upgrading programs (Lemma, 2010). Community participation improves program implementation and impact hence throughout the program cycle the role of the program managers is to facilitate the processes technically and ask the right questions to the community members so as to encourage them towards a deeper understanding of their socio-political status and find the right balance for working with the community members thus allowing them take the lead in developing solutions (Imparato and Ruster, 2003).

Community based upgrading is possible if slum dwellers are given the opportunity to come together to address specific issues that affect them. Cohen and Uphoff (1977) noted that the decisions and implementation activities that are to be monitored and evaluated should always be project specific, preferably determined in consultation with intended beneficiaries to be sure that these are meaningful decisions, activities and benefits.

In Brazil the upgrading approach of the Favelas was focused on ensuring community involvement throughout the entire program cycle and the Municipal Secretariat of Housing establishes contact with the selected communities with an aim of bringing the city government and community to work together. Neighborhood associations and different community groups were allowed to participate in preparatory meetings during the planning phase. Government officials encourage community members to establish working groups to support the construction of new infrastructure during the implementation phase. On the other hand, involving the community strongly is not recommended because it affects the planning and design of programs thus a balance should be sought.

In Ghana the community expected that once upgrading programs commenced, improvements would be felt within the first three months (Cropper and Bento, 2006). In Kenya there have been successful slum upgrading programs like the Huruma upgrading program in Kambi Moto which begun in 1999 under the initiative of Pamoja Trust a non-governmental organization. The

organization used a participatory approach that involved tenants, structure owners, Pamoja Trust, Muungano wa Wanaviji (a network of community savings group) and the Department of Planning in Nairobi County Council (NCC). The community members took the lead in mobilizing and lobbying the government for land tenure and service provision, planning the settlement and conceptualizing the upgrading process themselves, and finally financing and constructing the houses with the help of savings and loan schemes set up and run by community members (De Soto, 2000).

Community's self-organization was key to success of the upgrading process. The residents organized, financed and contributed labor to all phases of site, construction and materials preparation. The residents were able to work with the NCC to gain communal title to the land. The community cultivated a savings culture through a well-organized and managed daily savings scheme that allowed the residents to access outside capital loans that helped finance construction of new upgrading units. The organization trained the community on participatory planning, and acted as a liaison between the community and the NCC. They also acted as technical advisors during construction and they also helped develop a savings scheme model. This approach ensures equitable distribution of resources, community empowerment and high level of house occupancy in slum upgrading programs (UN-Habitat, 2008).

## **2.6 Compliance to UN-Habitat Standards and Occupancy Level of Houses**

The UN-Habitat standards indicates that for housing to be adequate, it must, at a minimum, meet the following criteria: Security of tenure; housing is not adequate if its occupants do not have a degree of tenure security which guarantees legal protection against forced evictions, harassment and other threats; Availability of services; materials, facilities and infrastructure: housing is not adequate if its occupants do not have safe drinking water, adequate sanitation, energy for cooking, heating, lighting, food storage or refuse disposal; Affordability; housing is not adequate if its cost threatens or compromises the occupants' enjoyment of other human rights; Habitability; housing is not adequate if it does not guarantee physical safety or provide adequate space, as well as protection against the cold, damp, heat, rain, wind, other threats to health and structural hazards; Accessibility; housing is not adequate if the specific needs of disadvantaged and marginalized groups are not taken into account; Location; housing is not adequate if it is cut

off from employment opportunities, health-care services, schools, childcare centres and other social facilities, or if located in polluted or dangerous areas; Cultural adequacy; housing is not adequate if it does not respect and take into account the expression of cultural identity (UN-Habitat, 2003).

These standards were developed to ensure that there is adequate housing units of higher quality to all individuals across the world. International human rights laws recognize that everyone has a right to have an adequate standard of living apart from having access to the housing units. This means that people, should not just have access to houses, but the houses should be able to offer quality standards of living to the occupants. In addition, these standards have stated the kind of houses that needs to be constructed as well as the social amenities that should be included in the neighborhood. This is to ensure that as much as the projects are conducted as a philanthropist approach, the houses being constructed meets the standards required by the UN-Habitat.

The UN habitat has also provided guidelines on procedures to be followed by the project team while upgrading the houses in slums. It is recommended that the stakeholders and the beneficiaries of the projects be involved throughout the implementation process of the projects. According to Marx, Stoker and Suri (2013) the views of these beneficiaries are essential since they are likely to influence the occupancy of the new houses. Rigon (2014) also reported that the occupancy levels of the houses are in most cases determined by the compliance to the UN housing standards. Wekesa (2011) pointed out, then in cases where the slum upgraded houses have fully complied with the set standards, the possibility of reporting higher occupancy levels is guaranteed. Compliance with the set housing standards is therefore a factor that is likely to influence the occupancy levels of the slum upgraded houses.

## **2.7 Theoretical Framework**

The UN uses the proportion of households with access to secure tenure as the sole indicator of improving livelihoods in slums in its assessment of the achievement of MDGs. The Global Campaign for Secure Tenure (GCST) asserts that security of tenure is foundational in the promotion of human rights. De Soto, (2000) argued in his theory of property rights that a good property system is one that provides legitimacy and facilitates release of capital that is latent in the assets to enhance productivity and it should aim to alleviate social and economic conflicts.

He contended that formal property is more than a system of titling, recording and mapping assets, but an instrument of thought representing assets in such a way that people's minds can work on them to generate surplus value. He posits that titling does not "enliven dead capital" as there is no empirical evidence to this effect.

On the contrary, he claims, equating the situation to the scandal of excessive promotion of home ownership in the USA which provoked an international financial crisis through the lending of "sub-prime" loans to those unable to meet repayments, that a review of the literature and case studies show that titling can actually do more harm than good – especially for tenants, and owners displaced by market forces. Further, expressing disagreement with the UN's sole use of tenure security in assessing improved livelihoods in slums, Baker and McClain, (2009) argue that there is a considerable gray area between holding a legal title and absolute precariousness. They contend that as most governments recognize the existence of slums and accept them as marginal poor neighborhoods rather than illegal squatter settlements that need to be cleared, slum dwellers have gained differing and fluctuating levels of security of tenure, which may be strengthened by pro-poor policies to guarantee that slum dwellers won't be evicted.

Affordability constitutes the third element of rights to housing (Huchzermeyer, 2006) and is critical to occupancy level of upgraded houses. Studies have shown that most slum dwellers are poor and cannot afford improved housing. Affordability and upgrading strategy are closely intertwined. For instance insistence on full cost recovery in the projects has been the main cause of failure of various upgrading strategies, and their failure to reach the lowest percentiles of populations in terms of income. Within this context, the root cause for the failure of upgrading projects is lack of recognition of the vulnerability of low-income households in developing nations (Mayo, 1987; Peattie, 1982; and Pugh, 1997). Key interventions to enhance affordability include poverty alleviation through wealth creation and affordable project design.

On the other hand, the study by Gattoni, Goethert, and Chavez, (2011) showed that tenure security can be achieved through regularization of irregular settlements based on increasing the perception of security of residents, rather than placing too much emphasis on legal ownership. The study revealed that only about a third of owners purchase land in illegal sites-and-services

interestingly because (i) the transaction costs of processing the title were too high relative to the importance for owners (ii) the sales document represented sufficient security of tenure or protection from eviction (iii) there was little interest or need for securing loans with the property as collateral and (iv) many saw no need for title as they planned to leave the property to their heirs. This, in part, may account for accepting a long process for “completing” the house. Given the scarcity and limited options, owners saw the property as a coveted “opportunity” to pass on in the family rather than exploit market gains. The study concluded that security is important; tenure less so to the beneficiaries. Hence, provided there is confidence in the security, a home is seen as an investment for the family. Syagga (2011) eminently summarizes the argument in favor of the non-legal strategies, distinguishing between tenure security based on legality and legitimacy.

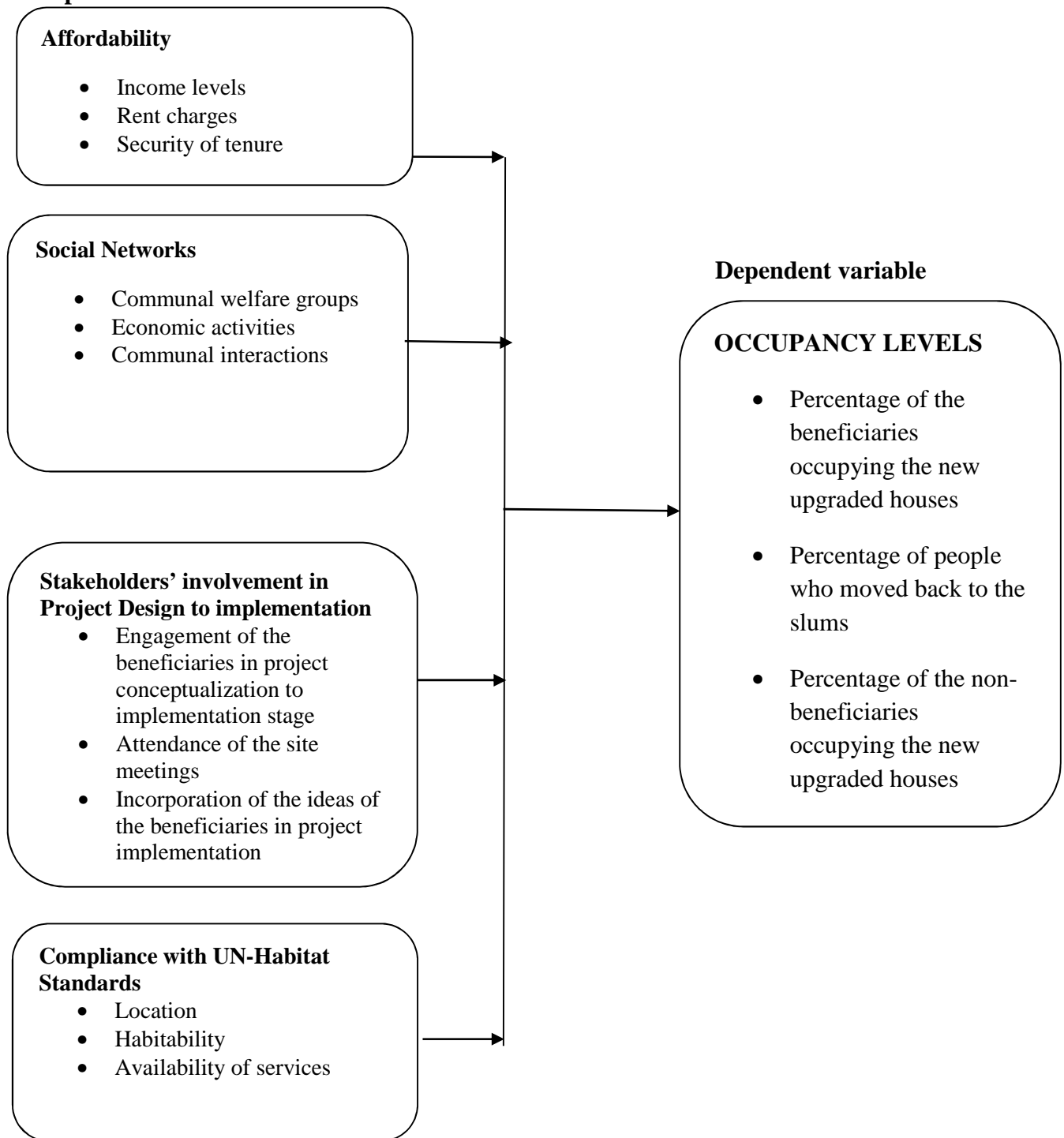
The UN Habitat observes that slum upgrading projects should be based on the principles of Security of tenure; availability of services; affordability; habitability; accessibility: location and cultural adequacy. On the other hand, good governance has nine major characteristics. It is participatory, consensus-oriented, accountable, transparent, responsive, effective and efficient, equitable, respects the rule of law and is vision-oriented (UNDP, 2009). The views of all oppressed groups, including slum dwellers, must be heard and considered by governing bodies. The slum upgrading projects should ensure that the concerns of the most vulnerable in society are taken into consideration in decision-making, either directly or through legitimate intermediate institutions that represent their interests. Bottom-up decision-making engenders community and county government “ownership”.

If stakeholders help make decisions at all stages of the project cycle, then development problems are more likely to be understood in their entirety and solutions are likely to be more effective. Hence, according to the World Bank, successful upgrading must meet real demand through sustainable means based on bottom-up or decentralized decision-making in order to engender community and local authority “ownership”. Within this context, the (UN-Habitat, 2003a) asserts that the accepted best practice for housing interactions in developing countries is now participatory slum upgrading. If stakeholders help make decisions at all stages of the project cycle, then development problems are more likely to be understood in their entirety and solutions

are likely to be more effective. In this way, upgrading will meet real needs of people who want it and understand its value. According to the World Bank Group (2001), commitment by all – the city, the community, and the families – is the most important element for successful upgrading projects.

## 2.8 Conceptual Framework

### Independent Variables



**Figure 1: Conceptual Framework**



## **2.9 Research Gap**

Previous literature has mainly focused on the need for improvement of slums in major cities across the world. A number of scholars have researched on the disadvantages and challenges of the informal settlements recommending the needs for upgrading of these slums in Kenya. However, there is scanty information on factors that influence the occupancy level of the upgraded houses in slum upgrading projects. The literature reviewed indicates that beneficiaries abandoned the upgraded houses in Kibra Soweto East, a scenario jeopardizing occupancy level of the upgraded houses that had also been witnessed in previous projects such as the upgrading in Mathari, Mavoko and parts of Kisumu County. No specific causes have been identified for such low uptake of upgraded houses. There is need to know what factors cause this. It thus remains a matter of concern that there is no research on the factors influencing the occupancy level of upgraded houses in slum upgrading projects. It is in this context that this study seeks to bring out the specific influence of affordability, social networks, stakeholders' involvement and compliance to UN-Habitat standards of housing on the occupancy level of upgraded houses by project beneficiaries in a case study of the Kibra Soweto-East Upgrading Project. The findings of this study will therefore fill this gap in literature by identifying the factors that influence occupancy level of upgraded houses in slum upgrading projects.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

The chapter outlines the overall methodology that was used in the study. This includes the research design, target population, sampling procedures, data collection methods and data analysis. A combination of all these components led to the results upon which conclusions were made.

#### **3.2 Research Design**

The study employed a descriptive survey research design to establish factors influencing occupancy level of houses in slum upgrading projects, a case of Kibra Soweto-East in Nairobi County. The fact that this design involves a large number of participants makes it likely to provide adequate information needed to respond to the research questions hence its suitability for this study. Creswell and Vicki (2007) describes quantitative research as one in which the investigator primarily uses post positivists claims for developing knowledge (cause and effect) by use of specific variables, hypothesis and questions to yield statistical data. The design seeks to capture both qualitative and quantitative aspects of the study.

#### **3.3 Target Population**

The target population refers to the entire group of individuals or objects to which researchers are interested in generalizing the conclusions (Trochim, et al., 2006). The target population for this study was 600 beneficiaries of Kibra Soweto-East slum upgrading project and 10 KENSUP project officials involved in the implementation of the project all located in Kibra slum. The beneficiaries could either have moved back to the slums or living in the new upgraded houses.

#### **3.4 Sample Size and Sampling Procedure**

A sample is a sub-group obtained from the accessible target population (Mugenda and Mugenda, 2003). This subgroup is carefully selected so as to be representative of the whole population with

relevant characteristics. Each member or case in the sample is referred to as a subject or respondent.

Sampling means selecting a given number of subjects to represent the population. Any statements made about the sample should also be true of the population (Orodho, 2008). The sample size was determined by applying (Cooper and Schindler, 2003) formula. The simple random method was used to obtain respondents for the questionnaires.

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

Where: n= Sample size, N= Population size e= Level of Precision.

At 95% level of confidence, level of precision is 0.05 therefore:

$$n = 610 / (1 + 610(0.05)^2)$$

$$n = 242$$

The sample size is therefore 242.

### **3.5 Research Instruments**

Questionnaire and interview guide were the research instruments. Closed and open ended questions were used to capture both qualitative and quantitative aspects of the research. Likert (1932) scale was used to determine if the respondent agreed or disagreed in a statement. They are economical and easy to administer because each item is followed by an alternative answer. Self-administered questionnaire is the only way to elicit self-reports on people's opinion, attitudes, beliefs and values (Sproul, 1998). Interview guide was administered to access key information from KENSUP project officials and was utilized in the conclusion.

### **3.6 Pilot Testing**

Piloting refers to pre-testing of the research instrument by administering it to a selected group which is similar to the actual sample that the researcher plans to use in the study Mugenda and Mugenda (1999). A pilot test was conducted by randomly distributing 20 questionnaires to a

population with similar characteristics with the participants but ones who did not form part of the study sample. This helped identify parts of the questionnaire that were unclear to the respondents and changes were made to the same. The pilot testing also helped the researcher familiarize herself in the administration of the instrument. The results from the pre-test were analyzed using statistical program for social sciences (SPSS) to establish internal consistency of items in each of the independent variables. The pilot test results were used to improve the questionnaire by simplifying the language to ensure correct interpretations were made by the participants.

### **3.6.1 Validity of the Instrument**

According to Gragnon (2010) content, criterion and construct validity are the different forms of validity that ought to be assured in any study for the total findings to be valid. To ascertain that the data collection instrument was valid, expert opinion will be sort from the supervisor and colleagues of University of Nairobi, Nairobi Campus. The experts checked on the content and construct validity to ascertain whether the instrument was able to accurately measure the variables under study in line with the objectives of the study. The questionnaires were also subjected to pre-test to detect any deficiencies. The use of both interviews and questionnaires as methods of data collection guaranteed the possibility of attaining quality findings. What was not captured through the use of one instrument was catered for with the use of the other. Evaluator apprehension to eliminate fear from the respondents was also performed.

### **3.6.2 Reliability of the Instruments**

Reliability is a measure of the degree to which a research instrument yields consistent results or data after repeated trials, Mugenda and Mugenda, (2003). It also refers to the accuracy and precision of a measurement procedure and can be expressed in terms of stability, equivalence, and internal consistency (Cooper and Schindler, 2003). It is vital that the data collected throughout the study be consistent. The researcher used test-re-test reliability method by administering questionnaires twice to the same respondents after an interval of two weeks to ensure consistency. The scores from the first and second test were then correlated to determine the coefficient of reliability using the Karl Pearson's Product Moment Coefficient of Correlation (r).

$$r = \frac{n\sum xy - (\sum x)(\sum y)}{\sqrt{[n\sum x^2 - (\sum x)^2][n\sum y^2 - (\sum y)^2]}}$$

Where r= Reliability coefficient

n= Number of respondents

$\sum xy$  = sum of the products of paired scores

$\sum x$  = sum of x scores

$\sum y$  = sum of y scores

$\sum x^2$  = sum of squared x scores

$\sum y^2$  = sum of squared y scores

According to Kasomo (2006), if the value r lies between -1 and +1, it indicates perfect or total relationship while if the value of r is 0 or near 0, it indicates no discernable relationship between the variables. A reliability coefficient of 0.82 was obtained indicating that the instrument had a high degree of reliability and the instruments were therefore deemed to be reliable as the value was near +1.

### 3.7 Data Collection Procedure

The researcher obtained a letter from the University of Nairobi allowing her to go to the field for data collection and also sought authorization to conduct research from National Commission for Science Technology and Innovation (NACOSTI). Questionnaires and interview guides were used to collect primary data from the occupants of the upgraded units and KENSUP project officials. The researcher and research assistants administered the questionnaires to the study participants. The selected personnel of KENSUP were contacted by the researcher via telephone to request for permission to carry out the study and thereafter dates were confirmed including time the interviews would be conducted. The data collection process took approximately two weeks.

### 3.8 Method of Data Analysis

After field work, primary data collected was edited and the quantitative data was coded, organized and analyzed using descriptive statistics to generate percentages and frequency tables. The SPSS software was used for this purpose and the analysed data was then presented in form of tables where applicable. Qualitative data collected from the interview guide was organized

into themes, categories and patterns pertinent to the study and integrated with the quantitative data to facilitate the discussion of key findings. In conclusion, data analysis was done based on the objectives and research questions. The results were analysed and presented in tables and reports.

### **3.9 Operational Definition of Variables**

In this section the study identifies behavioral dimensions, indicators of the main variables under the study in order to make them measurable. The measurement is both objective and subjective. The table below shows the operational indicators that were used during the research on the determinants of occupancy level of houses in slum upgrading projects in Kibra Soweta East slum in Nairobi County.

**Table 3.1 Operational Definition of Variables**

<b>Objectives</b>	<b>Type of Variable</b>	<b>Indicators</b>	<b>Scale</b>	<b>Analysis Tool</b>
How does affordability influence occupancy level of houses in Kibra Soweto-East slum upgrading project?	<b>Independent:</b> Affordability  <b>Dependent:</b> Occupancy level of houses	Level of income  Rent charges  Security of tenure	Ordinal	Descriptive statistics  Cross tabulations  Spearman's rank Product Correlation
How does social networking influence occupancy level of houses in Kibra Soweto-East slum upgrading project?	<b>Independent:</b> Social Networking  <b>Dependent:</b> Occupancy level of houses	Communal welfare groups  Economic activities  Communal interactions	Ordinal	Descriptive Statistics  Cross tabulations  Spearman's rank product Correlation.
How does stakeholder's involvement influence occupancy level of houses in Kibra Soweto-East slum upgrading project?	<b>Independent:</b> Stakeholder's involvement  <b>Dependent:</b> Occupancy level of houses	Engagement of the beneficiaries in project implementation Attendance of site meetings Incorporation of ideas of the beneficiaries in project implementation	Ordinal	Descriptive statistics  Cross tabulations  Spearman's rank Product Correlation
How does compliance to UN-Habitat standards influence occupancy level of houses in Kibra Soweto-East slum upgrading project?	<b>Independent:</b> Compliance to UN-Habitat standards  <b>Dependent:</b> Occupancy level of houses	Location  Habitability  Availability of services	Ordinal	Descriptive statistics  Cross tabulations  Spearman's rank Product Correlation

### **3.10 Ethical Issues**

The purpose of this study was explained to the respondents and information provided was treated as confidential. A research permit was acquired from National Commission for Science, Technology and Innovation (NACOSTI) and consent from all the participants obtained. Questionnaires did not require names of participants involved in the study to be provided. Permission was sort from each participant prior to conducting the interviews and issuing the questionnaires to ensure the research participants gave the required information willingly. Finally, the researcher ensured that all the sources of information were properly quoted and acknowledged in the study body and a list of bibliography in respect to the same given in the reference section.



## CHAPTER FOUR

### DATA ANALYSIS, PRESENTATION AND INTERPRETATION

#### 4.1 Introduction

This chapter analyses, presents, interprets and discusses information collected from the respondents. The chapter is divided into demographic characteristics, the variables studied including the influence of affordability, social networks, stakeholder's involvement, compliance to the UN-Habitat housing standards and how they influenced occupancy level of houses in the Kibra Soweto-East slum upgrading project.

#### 4.2 Response Rate

Out of 242 questionnaires administered, 204 were filled and returned. The study realized a response rate of 84.3% (n=204), which was good compared to (Mugenda and Mugenda 2003) recommendation of 75% success rate. The table 4.1 below shows the response rate.

**Table 4.1 Response Rate**

Items	Frequency	Percentage
Responded	204	84.3
Did not respond	38	15.7
<b>Total</b>	<b>242</b>	<b>100</b>

#### 4.3 Demographic Information of the Respondents

This section presents background information of the respondents' by gender, age, level of education, type of income and number of children. These were as presented in the following sub-sections.

##### 4.3.1 Distribution of Respondents by Gender

The researcher sought to establish the gender of the respondents. The results presented in Table 4.2 shows that 56% of the respondents were male while 44% were female.

**Table 4.2: Distribution of Respondents by Gender**

<b>Gender</b>	<b>Frequency</b>	<b>Percent</b>
Male	114	56
Female	90	44
<b>Total</b>	<b>204</b>	<b>100</b>

The findings established that most of the beneficiaries in the selected slum upgrading project were male as shown in Table 4.2.

#### **4.3.2 Distribution of Respondents by Age**

The researcher also sought to establish the age of the respondents. The findings are presented in Table 4.3.

**Table 4.3: Distribution of Respondents by Age**

<b>Age (Years)</b>	<b>Frequency</b>	<b>Percent</b>
19-25 Years	36	18
26-30 Years	53	26
31-40 Years	102	50
above 40 Years	13	6
<b>Total</b>	<b>204</b>	<b>100</b>

From Table 4.3, 18% (n=36) of the participants were between the age of 19-25, 26% (n=53) were within the age group 26-30, 50% (n=102) of the respondents were between 31-40 years of age while the group above 40 years of age were only 6% (n=13). The study established that most of the beneficiaries in the selected slum upgrading project were between 31 and 40 years of age indicating a high population of youth in the selected slum upgrading project.

#### **4.3.3 Distribution of Respondents by Level of Education**

The researcher also sought to establish the level of education of the respondents. The findings are presented in Table 4.4.

**Table 4.4: Distribution of Respondents by Level of Education**

<b>Level of education</b>	<b>Frequency</b>	<b>Percent</b>
Non-formal	16	8
Primary	115	56
Secondary	59	29
College	14	7
<b>Total</b>	<b>204</b>	<b>100</b>

It was established that 56% (n=115) and 29% (n=59) had Primary and Secondary education respectively while 7% (n=14) had gone up to College level. Only 8% (n=16) of the respondents had non-formal education. This indicates that the majority of the respondents lack secondary school and college education in the selected slum upgrading project.

#### **4.3.4 Distribution of Respondents by Source of Income**

The researcher also sought to establish the source of income of the respondents with a view of establishing how this influenced the occupancy level of the upgraded houses. The findings are presented in Table 4.5.

**Table 4.5 Distribution of Respondents by Source of Income**

<b>Source of income</b>	<b>Frequency</b>	<b>Percent</b>
Employed	26	13
Self employed	57	28
Casual labor	88	43
Not employed	33	16
<b>Total</b>	<b>204</b>	<b>100</b>

It was established that 13% (n=26) were employed, 28% (n=57) were self-employed, 43% (n=88) were casual laborers while 16% (n=33) of the participants were unemployed as indicated in Table 4.5. According to the study findings, the majority of the beneficiaries in the selected upgrading project are casual laborers.

#### 4.3.5 Distribution of Respondents by Number of Children

The researcher also sought to establish the number of children each respondent had. The findings are presented in Table 4.6.

**Table 4.6: Distribution of Respondents by Number of Children**

No. of Children	Frequency	Percent
0	8	4
1	27	13
2	20	10
3	73	36
4	59	29
5	12	6
6	5	3
<b>Total</b>	<b>204</b>	<b>100</b>

The study established that 4% of the respondents had no children, 13% had one child, 10% had two children, 36% had three children, 29% had four children, 6% had 5 children and 3% of the respondents had six children. The results presented in Table 4.6 indicates that the majority of the beneficiaries (n=132) had between three to four children in the selected slum upgrading project.

#### 4.4 Affordability and Occupancy Level of Houses in Slum Upgrading Projects

In this section, the researcher sought to seek the extent to which affordability influences occupancy level of houses in slum upgrading projects. The responses were given a five point scale namely; very high, high, moderate, low and very low. The responses were ranked in such a way that very high was given value 1, high was given value 2, moderate was given value 3, low was given value 4 and very low was given value 5.

**Table 4.7: Affordability and Occupancy Level of Houses**

Items	Very High		High		Moderate		Low		Very Low	
	F	%	F	%	F	%	F	%	F	%
Occupancy based on type of income.	137	67	26	12	32	16	5	3	4	2
Occupancy based on the period of security of tenure	92	45	79	39	19	9	9	4	5	3
Occupancy based on income level	144	71	28	14	22	11	10	4	0	0
The lower the rent, the more likely a house is occupied	159	78	23	12	7	3	9	4	6	3
Occupancy based on features of a house	74	36	34	17	67	33	29	14	0	0

The study aimed to establish the influence of affordability on occupancy level of houses in slum upgrading projects. A number of factors including type of income, security of tenure, income level, rent amount, and features of a house were investigated. From Table 4.7, 78% (n= 159) of the respondents said that the lower the rent the higher the interest in occupying an upgraded house, 71% (n=144) of the respondents said that the decision to occupy an upgraded house would be influenced by their income level to a very high extent while 67% (n=137) of the respondents said that they would occupy an upgraded house if they had regular income. On the other hand 39% (n=79) and 45% (92) of the respondents said security of tenure would influence their decision to occupy an upgraded house to a high and very high extent respectively while 17% (n=34) and 36% (n=74) said features of a house was a consideration of high and very high importance while deciding to occupy an upgraded house.

From the interviews it was established that the occupancy level of houses by beneficiaries was about 75% because most of them considered the monthly rent for the upgraded houses of Kes 2,100 to be too high. They confirmed that they are aware about 25% of the occupants are not beneficiaries of the project but have had the houses sublet to them as tenants by the beneficiaries. According to the findings, 78% of the respondents used to pay less than Kes 1,000 per month in the slums which was confirmed by the project officials. The participants further indicated that

they were willing and able to pay rent of below 1,000 Kenya shillings. Only 22% indicated that they could afford to pay rent of more than 2,000 per month. The project officials confirmed that the occupants of the upgraded houses were expected to pay 2,100 for each unit per month. They further confirmed that the rate was inappropriate since the majority could not afford to pay. This made most of the beneficiaries agree to take up only 1 room at 700 shillings per month yet most of them have large families of between 3 and 4 children. According to the project officials, this has led to congestion in these houses leading to inhabitability which is made worse by lack of water yet the houses have modern toilets shared by three families.

#### 4.5 Social Networks and Occupancy Level of Houses in Slum Upgrading Projects

In this section, the researcher sought to seek the extent to which social networks influences occupancy level of houses in slum upgrading projects. The responses were given a five point scale namely; strongly agree, agree, neither agree nor disagree, disagree and strongly disagree. The responses were ranked in such a way that strongly agree was given value 1, agree was given value 2, neither agree nor disagree value 3, disagree was given value 4 and strongly disagree was given value 5.

**Table 4.8: Social Networks and Occupancy Level of Houses**

Items	Strongly Agree		Agree		Neither Agree nor Disagree		Disagree		Strongly Disagree	
	F	%	F	%	F	%	F	%	F	%
Membership in communal welfare groups	72	35	58	28	34	17	31	15	9	5
Social activities of communal welfare groups	82	40	47	23	43	21	19	10	13	6
Economic activities	119	58	38	19	24	12	19	9	4	2
Participation in communal interactions	68	33	47	23	50	25	35	17	4	2

Overall 35% of the respondents strongly agreed that membership in social welfare groups within the slums would influence their decision to occupy an upgraded house, 40% strongly agreed that social activities would influence their decision, 58% indicated that economic activities would strongly influence their decision while 33% indicated that participation in communal interactions would influence their decision to move.

#### 4.6 Stakeholders Involvement and Occupancy Level of Houses

In this section, the researcher sought to seek the extent to which stakeholders' involvement including the community members' influenced occupancy level of houses in slum upgrading projects. The study sought to establish if there was community involvement and what the nature of involvement was at the conception, planning and implementation stages of the project.

**Table 4.9: Overall Community Involvement**

<b>Items</b>	<b>Frequency</b>	<b>Percent</b>
Yes	41	20.1
No	163	79.9
<b>Total</b>	<b>204</b>	<b>100</b>

The table 4.9 above shows that 79.9% of the respondents were not involved, while only 20.1% stated that they were involved in the overall process.

##### 4.6.1 Community Involvement at the Conception Stage

The sought to examine how community involvement at the conceptualization stage influenced occupancy level of houses in Kibra Soweto-East upgrading program.

**Table 4.10: Community Involvement at the Conception Stage**

<b>Participation</b>	<b>Frequency</b>	<b>Percentage</b>
Design of the project	0	0
Participation in needs assessment survey	16	8
Did not participate	188	92
<b>Total</b>	<b>204</b>	<b>100</b>

The findings reveal that none of the respondents was involved at the conception stage of the project, 92% were not actively involved and only 8% said they were involved in the needs assessment survey as shown in Table 4.10 above. Interviews with KENSUP officials confirmed that attendance of the sensitization meetings on the proposed project by the community members was very low. The local community were not actively engaged in the project design to ensure any issues they had were addressed.

#### 4.6.2 Community Involvement at the Planning Stage

The researcher also sought to establish the level of involvement by community members at the planning stage.

**Table 4.11: Community Involvement at the Planning Stage**

<b>Participation</b>	<b>Frequency</b>	<b>Percentage</b>
Attended site meetings	86	42
Involved in planning project activities	16	8
Did not participate	102	50
<b>Total</b>	<b>204</b>	<b>100</b>

It was established that 50% of the respondents did not participate in the planning stage, 42% attended the planning site meetings and 8% said that they were involved in planning the project activities as shown in Table 4.11. Interviews with the KENSUP officials indicated that the site meetings were not participatory but for information sharing. The attendees would only be given updates on the upcoming project without being given an opportunity to get involved in the process.

#### 4.6.3 Community Involvement at the Implementation Stage

The researcher also sought to establish the level of involvement by community members at the implementation planning stage.

**Table 4.12: Community Involvement at the Implementation Stage**

<b>Participation</b>	<b>Frequency</b>	<b>Percentage</b>
Provided manpower	30	14



Attend meetings on implementation progress	54	26
Did not participate	120	59
<b>Total</b>	<b>204</b>	<b>100</b>

It was established that 59% of the respondents did not participate in the implementation stage of the project, 26% attended meetings on implementation progress while only 14% provided manpower towards the upgrading project. From the interviews it was established that the meetings just like the ones held at the conceptualization and planning stages were basically for information sharing and not to hear the views of the beneficiaries.

#### 4.6.4 Purpose of Stakeholder Meetings

The researcher also sought to establish the purpose of the stakeholder meetings held by the project officials and the community members in all the stages of the project.

**Table 4.13: Purpose of Stakeholder Meetings**

Items	Frequency	Percent
Information Sharing	141	69%
Consultative and participatory	63	31%
<b>Total</b>	<b>204</b>	<b>100%</b>

From the Table 4.13, it was established that stakeholder' meetings involving the community members was done more for information sharing as indicated by 69% of the respondents while 31% said the meetings were consultative and participatory in nature.

From the findings, a total, of 63% (n=128) indicated that community directed involvement by KENSUP project officials would have influenced their decision to move to the upgraded houses since they would have felt like a part of the whole upgrading process while only 10% said it would not have influenced their decision to move.

From the interviews conducted, KENSUP officials together with the other donors organized frequent meetings every fortnight from project conceptualization to implementation stage. The approximate number of beneficiaries who attended the meetings was not good with less than

50% of the targeted beneficiaries not attending. They further confirmed that the number of attendants decreased with time. The community members were not involved in any of the decision making relating to the upgrading project. Instead they were requested to attend for purposes of information sharing by the project officials since they had already decided how the project was going to be rolled out.

#### 4.7 Compliance to UN-Habitat Standards and Occupancy Level of Houses

In this section, the researcher sought to seek the extent to which compliance to UN-Habitat standards influences occupancy level of houses in slum upgrading projects. The responses were given a five point scale namely; very high extent, high extent, moderate extent, low extent and very low extent. The responses were ranked in such a way that very high extent was given value 1, high extent was given value 2, moderate extent value 3, low extent was given value 4 and very low extent was given value 5.

**Table 4.14: Compliance to UN-Habitat Standards and Occupancy Level of Houses**

Items	Very high Extent		High Extent		Moderate extent		Low Extent		Very low extent	
	F	%	F	%	F	%	F	%	F	%
Location	88	43	65	32	35	17	10	5	6	3
Habitability	131	64	41	20	17	8	15	8	0	0
Availability of Services	81	40	53	26	33	16	29	14	8	4

The table 4.14 above shows the levels of compliance to some of the UN-Habitat standards and the occupancy level of slum upgraded houses. It was established that habitability was a key determinant to house occupancy, with 64% of respondents saying its influence is to a very high extent, while 20% said that it's to a high extent. Location followed closely with 43% of respondents confirming that it would affect their decision to occupy an upgraded house to a very high extent while 24% said it would to a high extent. Availability of services would influence decision to occupy an upgraded house with 40% of the respondents saying it would influence them to a very high extent and 26% to a high extent. This therefore means that location, habitability and availability of services highly influences the decision by the beneficiaries to move to the upgraded houses. From the interviews, it was established that KENSUP was guided

by the recommended UN-Habitat standards in upgrading the houses at the decanting site in Kibra Soweto-East.

#### 4.8 Type of Income and Habitability

In this section, the researcher sought to seek the relationship between variables by using cross tabulations. A cross tabulation between habitability and type of income was carried out.

**Table 4.15: Type of Income and Habitability**

		Habitability				Total	
		Very Extent	High	High Extent	Moderate Extent		Low extent
Regular Income	Count	38		15	5	4	62
	% within Habitability	29%		37%	29%	27%	30%
Irregular Income	Count	93		26	12	11	142
	% within Habitability	71%		63%	71%	73%	70%
Total	Count	131		41	17	15	204
	% within Habitability	100%		100%	100%	100%	100%

A cross-tabulation was carried out to establish the relationship between key factors affecting the occupancy levels of the houses in Soweto-East upgrading project. Table 4.15 shows a cross-tabulation of the respondent's type of income as either regular or irregular, verses habitability of the upgraded houses. The table shows that 38 of the respondents with regular income said that habitability affected their decision to occupy the upgraded houses while at the same time 93 respondents with irregular income, also agreed to a very high extent that habitability would affect their decision to occupy upgraded houses.

#### 4.9 Economic Activities and Income Level

A cross tabulation between economic activities and how level of income affects the decision to occupy the upgraded houses is shown in Table 4.16

**Table 4.16: Economic Activities and Income Level**

			Income Level				
			Very High	High	Mode rate	Low	Total
Economic Activities	Strongly Agree	Count	108	11	10	0	129
		% within Income Level	75%	39%	45%	0%	63%
	Agree	Count	19	3	0	6	28
		% within Income Level	13%	11%	0%	60%	14%
	Neither Agree nor Disagree	Count	9	8	3	4	24
		% within Income Level	6%	29%	14%	40%	12%
	Disagree	Count	4	6	9	0	19
		% within Income Level	3%	21%	41%	0%	10%
	Strongly Disagree	Count	4	0	0	0	4
		% within Income Level	3%	0%	0%	0%	2%
	Total	Count	144	28	22	10	204
		% within Income Level	100%	100%	100%	100%	100%

Further, a cross-tabulation was carried out to establish the relationship between the influences of economic activities on decision to move to the upgraded houses versus the income level of the respondents. The table 4.16 above shows that 108 respondents strongly agree that Economic activities would influence their decisions to occupy the upgraded houses, and at the same time, agree that income level would affect their decision to a high extent. Generally, as established, as the count of income level influence on decisions to occupy the houses decreases, the economic activities count also goes down, meaning, that both economic activities and income level have a

great influence on the decision of the respondents to occupy the upgraded houses in the Soweto-East Village.

## **CHAPTER FIVE**

### **SUMMARY OF THE FINDINGS, DISCUSSIONS, CONCLUSION AND RECOMMENDATIONS**

#### **5.1 Introduction**

The chapter summarizes the findings, conclusions and recommendations based on the study findings from the respondent's feelings and perceptions of the variables. The summary of findings captured frequencies and percentages of the respondents and the correlations of the indicators of each variable studied. Conclusions based on the variables and recommendations to the Ministry of Housing and also for future research are provided.

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

This section presents the summary of findings of the study in chapter four according to the objectives. The study had a response rate of 84%.

##### **5.2.1 Demographic Characteristics**

In reference to the demographic characteristics, the study sought to establish the respondent's age, gender, level of education, source of income and number of children per household. The findings indicated that there were more male participants in the study (56%) than female participants (44%). The majority of the participants were within the age group 31 - 40 years, followed by 26% who were within 26 - 30 years, 18% were within 19 - 25 while only 6% were above 40 years of age. The majority of the participants 56% (n=115) had up to Primary level of education, followed by 29% (n=59) who had up to Secondary school education and only 7% (n=14) had reached college level. Participants with non-formal education were 8% (n=14). Respondents who were employed were 13%, 28% were self-employed, 43% were casual laborers and 16% were not employed. The majority of the respondents had 3 or 4 children followed by those who had 1 child, 2 children, 6 children or no child respectively.

##### **5.2.2 Affordability and Occupancy Level of Houses in Slum Upgrading Projects**

Affordability factors showed very strong correlations with occupancy level of slum upgraded houses with three indicators. Level of income (71, 14% and 0.817) rent charges (78, 12% and

0.816) and security of tenure, (45, 39% and 0.808) had very strong correlations to occupancy level of houses. However features of a house (36, 17% and 0.524) showed weak correlations to occupancy level of houses. The study further revealed that 24% of the respondents noted that some units are occupied by non-community members. This is because some of the project beneficiaries sublet their houses to middle class families and moved back to the slums in order to supplement their source of income. It was also established that corrupt unit allocation by the Ministry of Housing officials in charge of the allocation process was observed.

### **5.2.3 Social Networks and Occupancy Level of Houses in Slum Upgraded Houses**

Social networks factors showed very strong correlations to occupancy level of slum upgraded houses with three indicators. Membership in communal welfare groups (35, 28% and 0.819), social activities of communal welfare groups (40, 23% and 0.756) and economic activities (58, 19%, and 0.718) However participation in communal interactions (33, 23% and 0.454) showed weak correlations to occupancy level of houses. The project officials confirmed that the social activities undertaken by the residents of Soweto-East were of great importance to them and a majority did not want to move to the upgraded house since they considered belonging to this set up as very important. When they realized that the upgraded houses would only cater for a few of them, some were very reluctant to move.

### **5.2.4 Stakeholders' Involvement and Occupancy Level of Houses in Slum Upgraded Houses**

Community involvement factors revealed that 92% did not participate at the conception phase, 50% did not participate at the planning stage and 59% did not participate at the implementation stage. This indicates that the community participation was minimal with an overall score of 20%. The project officials in the interviews confirmed that this was due to the fact that the community members were not encouraged and sensitized to participate right from the beginning. They also confirmed that the community was not well organized and were divided along tribal lines which made it difficult to coordinate the process of involving them.

### **5.2.5 Compliance to UN-Habitat Standards and Occupancy Level of Houses in Slum Upgrading Projects**

Compliance to UN-Habitat standards factors showed strong correlations to occupancy level of houses with three indicators. Habitability (64, 20% and 0.754), location (43, 32% and 0.816) and availability of services (40, 26% and 0.806). Overall the findings from the project officials indicated that the project complied with the UN-Habitat standards but from the respondents, it was established that the houses were too small. There are three very small rooms in each house and in some cases there were three families occupying each room since they could not afford to pay for the whole house comprising of 3 rooms. The majority had between 3 to 4 children making the place very inhabitable. Also there were issues of lack of water with the occupants going for weeks without this essential commodity. Burst sewer lines were evident and the issue is not addressed irrespective of numerous calls and complaints to the relevant authorities.

## **5.3 Discussions of the Findings**

This section discusses the findings of the study and is organized based on the conceptual Framework of the study.

### **5.3.1 Affordability and Occupancy Level of Houses in Slum Upgrading Projects**

The houses are considered too expensive by the slum dwellers with a majority saying that it they are unaffordable to them. This forces them to sublet the units to be able to supplement their current income and pay up their rent dues for the upgraded houses in time. The security of tenure is also an issue since the residents do not own the land upon which their houses are built on. Ferguson and Navarrete (2008), emphasizes that land tenure should be clearly addressed to ensure informal settlements are well regularized and formally integrated in the city planning framework. The study shows that the lower middle and low income groups have not been attended to by the private sector housing market since it mainly attends to high and upper middle income groups. There is therefore need to adopt proactive policies and programs to prevent growth of slums and informal settlements. Incentives should also be put in place by the Government to attract private developers into the low income housing segment (Solares, 2007).



### **5.3.2 Social Networks and Occupancy Level of Houses in Slum Upgrading Projects**

The study observed that the majority of the residents belong to different social groups. They also have small economic activities that they engage in as a source of income and most of their clients are within the slum set up. It therefore was a struggle for the beneficiaries to make a decision to move to the upgraded houses since their source of income would be affected by the move. The feeling of ‘wanting to belong’ was very strong and this hindered the occupancy level of the upgraded houses. It is therefore important for KENSUP to ensure they use an integrated approach in the slum upgrading projects to cater for open space for the small businesses run by the residents. This way the residents will not have to worry about their source of income while moving to upgraded houses. It was also established that the beneficiaries did not want to get disconnected from the social set up they belonged to in the slums such as Chamas and religious groups.

### **5.3.3 Stakeholders’ Involvement and Occupancy Level of Houses in Slum Upgrading Projects**

The study observed that overall community participation throughout the project cycle was low with a score of 79.9% indicating poor communication by the project implementation team. Lemma (2010), implies that without active co-operation, project plans cannot be implemented. Scholar De Soto (2010), emphasizes that community’s self-organization is key to the success of upgrading projects as seen in the Huruma upgrading project in Kambi Moto under the Pamoja Trust Initiative. The community should have been engaged in the needs assessment and also in the decision making process of what kind of upgrading they would have preferred. An integrated and participatory approach to slum upgrading projects should be adopted to ensure the slum residents positively contribute to the country’s economy since slums are well springs of entrepreneurial energy. The relationship between the community members and authorities such as Ministry of Housing as was the case in this upgrading project, is also improved if there is community participation.

### **5.3.4 Compliance to UN-Habitat Standards and Occupancy Level of Houses in Slum Upgrading Projects**

The findings established that habitability, location and availability of services were of importance to the beneficiaries to a very high extent. It is therefore important for the government to incorporate these standards in the policies already formulated for slum upgrading projects to ensure occupancy level of upgraded houses increases. The majority of the respondents said that habitability was the driving factor while making a decision on whether or not to occupy the upgraded houses followed by availability of services and location.

### **5.4 Conclusions of the Study**

The results of the study indicated that affordability had a very high contribution to the level of occupancy of the upgraded houses. Most households had a constrained financial base as the majority are casual labourers with irregular income. Their financial constraints made it difficult for them to maintain regular payment of the subsidised rent in the upgraded houses. The fact that there was also some savings they were expected to make towards owning the permanent upgraded houses made it even worse since they do not have adequate resources. The project did not take into consideration support for small businesses and provide employment through requesting for manpower in putting up the houses from the beneficiaries in an effort to boost their source of income. The strategy of encouraging beneficiaries to share the three rooms in each unit was also found to be unfavourable considering the majority of the respondents had large families of between three to four children. This made the houses very inhabitable to the occupants. Affordability is an issue of great importance to housing occupation and livelihood improvement and failure to boost the income level of the residents undermined occupancy level of the upgraded houses.

Social networks also affected occupancy level of the upgraded houses since from the study findings, the majority were uncomfortable with moving away from the communal welfare groups that they belonged to. The social activities such as Chamas and religious group meetings also affected their decision to move. The economic activities such as the small shops and different types of food they cook to sell as a source of income also made it difficult for the beneficiaries to

make a decision to move to the upgraded houses. They felt that moving was killing their businesses since the population at the upgraded houses was lower than it was at the slums meaning their businesses would be affected if they moved away from their clients.

The respondents indicated that they were not involved in the slum upgrading project with 80% confirming this. They also were not aware of the project stakeholders which was mainly associated with the fact that 64% of the respondents did not have secondary school and college education. The overall community participation was very low which hindered community empowerment. This also had a negative effect in terms of occupancy of the upgraded houses since the majority felt like they were not involved. The study also revealed that the level of financial support received from the government was relatively low compared to that from other donors. The government therefore needs to plan to allocate more funds to the upgrading projects to ensure success since commitment by all stakeholders affects the realization of the project deliverables.

The study revealed that habitability was a key determinant of house occupancy with a majority saying it influences them to a very high extent. Location and availability of services were also other factors considered highly towards the move to the upgraded houses. This is because of the current housing conditions that they live in which do not respect humanity. Compliance to UN-Habitat standards therefore was of high importance and therefore KENSUP in consultation with the Government should ensure that the standards are adopted as part of the upgrading policies currently in place for slum upgrading projects.

### **5.5 Recommendations of the Study**

Based on the findings and conclusions, the researcher recommends that;

- i) The Government of Kenya through the Ministry of Housing should take immediate deliberate steps to ensure that well targeted, measurable and transparent house rent subsidies are developed for the lower percentile income groups.

- ii) The slum upgrading projects should be implemented through improved urban planning practices coupled with recommended inbuilt poverty eradication measures. This will reduce the horizon of slums in urban areas in all the 47 Counties in Kenya.
- iii) Priority should be given to designing and planning upgrading projects which provide space for retail businesses such as open air community spaces for small scale dealings. Provision of formal business and artisan training to small business operators should also be considered. Incorporate provision of low requirement loans and credit facilities into strategies to support economic activities for the slum dwellers. Encourage formation of strong business associations around predominant business types to protect the businesses and their interest.
- iv) Stakeholders especially community members should be encouraged to participate to strengthen the citizen's voice at all stages of the project cycle. This will ensure improved accountability of policy makers thereby motivating them to be more responsive to the needs of the community. The community should participate from the conceptualisation of the project to implementation stage as the key drivers to ensure different needs are addressed and integrated in the projects deliverables.
- v) A participatory approach that involves the tenants, structure owners, KENSUP, the Community's Cooperative and Savings Scheme and the Department of Planning in Nairobi County Council should have been considered as was the case in the Huruma upgrading project in Kambi Moto which begun in 1999 under the Pamoja Trust Initiative. The community members took the lead in mobilizing and lobbying the government for land tenure and service provision, planning the settlement and conceptualizing the upgrading process themselves, and finally financing and constructing the houses with the help of savings and loan schemes set up and run by community members. KENSUP should consider lessons from this initiative if their upgrading projects are to be successful.

- vi) The UN-Habitat standards should be integrated as part of the slum upgrading policies to ensure that at a minimum the houses are affordable, in a good location with availability of services, habitable, accessible, have security of tenure and cultural adequacy.

## **5.6 Suggested Areas for Further Research**

The research has recommended the following areas for future studies:

1. There is need to examine how housing finance mechanisms support home ownership to the low income earners.
2. There is need to carry out an investigation on the major causes of high infrastructure cost in slum upgrading projects with a view to suggesting solutions.
3. It was established in this study that habitability is an important factor affecting occupancy the of slum upgraded houses, there is therefore need to carry out a study to establish the extent of its effect and suggest solutions.
4. There is need to assess the institutional capacity of the Government and the Ministry of Housing in boosting low cost housing.

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## **APPENDICES**

### **APPENDIX I: TRANSMITTAL LETTER**

**MBULA FLORENCE MUENI**

University of Nairobi,

School of Distance and Continuing Education,

P.O Box 15235 - 00100,

Nairobi.

Dear Sir/Madam,

#### **RE: REQUEST FOR YOUR PARTICIPATION IN THIS RESEARCH PROJECT**

I am a post graduate student at the University of Nairobi, School of Distance and Continuing Education. In partial fulfillment of the requirement for Master of Arts in Project Planning and Management, I am conducting a research on the factors influencing occupancy level of houses in slum upgrading projects, a case of Kibra Soweto-East in Nairobi County, Kenya.

I am glad to inform you that you have been selected to form part of the study. I would therefore kindly request you for assistance in completing the attached questionnaire which forms a major input of the research process. The information and data will strictly be used for academic purposes only and strict confidence shall be observed on the identity.

Your cooperation will go a long way in ensuring the success of this project.

I would like to thank you in advance for your time and consideration.

Yours Sincerely,

**MBULA FLORENCE MUENI**

University of Nairobi

## APPENDIX II: QUESTIONNAIRE FOR BENEFICIARIES

Please fill in the required information in the spaces provided. Or tick (✓) where necessary.

### SECTION A: GENERAL INFORMATION OF THE RESPONDENTS

1. Indicate your gender      Male       Female
2. Age              19 - 25 years  26 - 30 years  31 – 40 years  40 and above
3. How much rent are you currently paying?  
Below 1,000  1,100 - 1,200  1,300 – 1,400  1,500 – 1,600  Above 1,700
4. Please indicate your level of education.  
Non-formal  Primary  Secondary  College
5. Please indicate your source of income.  
Employed  Self-employed  Casual labor  not employed
6. Indicate how many children you have.

### SECTION B: THE INFLUENCE OF AFFORDABILITY ON OCCUPANCY LEVEL OF HOUSES IN SLUM UPGRADING PROJECTS

7. Would affordability of houses influence your decision to move into a new house in slum upgrading projects?  
Yes       No
8. Is your income regular?  
Yes       No
9. How much rent are you willing to pay?  
Below 1,000  1,100 - 1,200  1,300 – 1,400  1,500 – 1,600  Above 1,700
10. Do we have non-beneficiaries of this project as occupants of the upgraded houses?
11. The following factors are said to influence the affordability and occupancy of new housing units in slum upgraded projects. How would you rate them on a scale of 1 to 5?

**1. Very high 2. High 3. Moderate 4. Low 5. Very low**

<b>Items</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Informal settlement habitants with regular income are more likely to occupy slum upgraded houses as compared to those with irregular income.					
The period of security of tenure is more likely to influence decision to occupy a house					
Income level is likely to influence the decision to occupy a slum upgraded housing unit					
The lower the rent, the more likely you are to occupy a slum upgraded house					
Features of a housing unit is likely to influence your decision to occupy the same					

In your understanding, how does affordability affect occupancy level of houses in slum upgrading projects?

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

**SECTION C: THE INFLUENCE OF SOCIAL NETWORKS ON OCCUPANCY LEVEL OF HOUSES IN SLUM UPGRADING PROJECTS**

12. Do you have friends or relatives who live within your current neighbourhood?

Yes [ ] No [ ]

13. How often do you spend time with friends or relatives living within your current neighbourhood?

Daily [ ] Weekly [ ] Once a month [ ] Never [ ]

14. Are you a member of any social group within your current neighbourhood?

Yes [ ] No [ ]

15. If yes, which one?

Religious group [ ] Ethnic group [ ] Civic Group [ ] Social group [ ]

16. In case you were to relocate to another neighbourhood, would your friends, relatives or groups you belong to inform your decision to move?

Yes [ ] No [ ]

17. Explain

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

18. The following statements are used to determine the influence of social networks on occupancy level of houses in slum upgrading projects. Please, indicate your level of agreement to each of the statements. Use a scale of 1 to 5 where:

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

Items	1	2	3	4	5
Membership in communal welfare groups is likely to influence decision to move to an upgraded house.					
Social activities of the communal welfare groups is likely to influence decision to move to an upgraded house					
Economic activities in the slum is likely to influence decision to occupy a slum upgraded house					
Expected level of participation in the communal interactions is likely to influence the decision to move to an upgraded house					

In your understanding, what role does social networking have on occupancy level of houses in slum upgrading projects?

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

**SECTION D: THE INFLUENCE OF COMMUNITY INVOLVEMENT ON OCCUPANCY LEVEL OF HOUSES IN SLUM UPGRADING PROJECTS**

19. Were Stakeholders involved in the conceptualization, planning and implementation of the upgrading project?

Yes [ ] No [ ]

20. If yes, what was the nature or purpose of the meetings?

Information sharing [ ] Consultative and Participatory [ ]

21. Would engagement of the community members by KENSUP project officials influence your decision to relocate to the new upgraded housing units?

Yes [ ] No [ ]

22. Explain your answer above



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

23. Indicate with a tick which activities you were involved in at the conceptualization, planning and implementation stages of the upgrading project

Conceptualization stage	Designing of the project	[ ]
	Participation in needs assessment survey	[ ]
	Did not participate	[ ]
Planning stage	Attended site meetings	[ ]
	Involved in planning project activities	[ ]
	Did not participate	[ ]
Implementation stage	Provided manpower	[ ]
	Attend meetings on implementation progress	[ ]
	Did not participate	[ ]

**SECTION D: THE INFLUENCE OF UN-HABITAT STANDARDS ON OCCUPANCY LEVEL OF HOUSES IN SLUM UPGRADING PROJECTS**

24. The following are some of the UN-Habitat housing standards. Please indicate using a tick the extent to which the project implementers KENSUP adhered to the same in Kibra Soweto-East upgrading project.

**1. Very high Extent 2. High Extent 3. Moderate Extent 4. Low Extent 5. Very low**

Items	1	2	3	4	5
<b>Location:</b> are the upgraded houses cut off from employment opportunities, health-care services, schools, childcare centers and other social facilities? Are they located in polluted or dangerous areas?					
<b>Habitability:</b> Does the house guarantee physical safety, provide adequate space, as well as protection against cold, damp, heat, rain, wind, other threats to health structural hazards?					
<b>Availability of services,</b> including materials, facilities and infrastructure: occupants have safe drinking water, adequate sanitation, and energy for cooking, heating, lighting, food storage or refuse disposal.					

25. In your understanding, what influence does UN-Habitat standards have on occupancy level of houses in slum upgrading projects?

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

*Thank you for your cooperation*

### **APPENDIX III: INTERVIEW GUIDE FOR KENSUP PROJECT OFFICIALS**

1. What is the occupancy level of houses by beneficiaries in the Kibra Soweto-East slum upgrading project? What explains this level? Is this appropriate and why/why not?
2. On average, how much rent do Kibra dwellers pay? How much rent are they expected to pay for the Upgraded houses under the Kibra Soweto-East village upgrading project? Is it suitable/appropriate? Why/why not?
3. Did KENSUP organize a meeting to involve the beneficiaries in the in the process from conceptualization to the implementation stage? If yes, how often were the meetings conducted?
4. What was the approximate number of beneficiaries who attended the meeting if any? How did the number of attendants fluctuate with time?
5. Were the community members involved in the decision making process including the policies used in upgrading of the houses? What key decisions were they involved in?
6. Did KENSUP follow the recommended UN-Habitat standards of upgrading houses?
7. What are the main lessons learnt from the existing Kibra upgraded site and how have they been incorporated in future proposed projects?

*Thank you for your cooperation*

**APPENDIX IV: RESEARCH AUTHORIZATION LETTER**

## **APPENDIX V: RESEARCH PERMIT**