A CASE STUDY ON COMMUNITY PARTICIPATION IN 
UPGRADING - COPING STRATEGIES IN KIBERA, NAIROBI, KENYA

BY

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STUDENT'S DECLARATION
I, the undersigned, declare that this is my original work and has not been submitted to any other college, institution or university other than the United States International University in Nairobi for academic credit.

Signed: Akiri Morris (ID 607581) Date: 3rd August 2005

This project has been presented for examination with my approval as the appointed supervisor.

Signed: Dr. Peter Lewa Date: 5th August 2005

Signed: Dean, School of Business Date: 8th August 2005

Signed: Deputy Vice Chancellor, Academic Affairs Date: 8th August 2005
ABSTRACT

The general purpose of this study was to establish the level of community participation in planning and development of their community. The study was guided by the following research questions: To what extent were communities involved in the planning, design and implementation of upgrading projects in Kibera; What were the key barriers/hindrances to the community participation in Kibera; What were the long-term coping strategies of communities in upgrading systems in Kibera; What policy implementation strategies should be put in place in Kibera to encourage community participation in the planning and development of the area?

An exploratory research design was considered appropriate for the study in Kibera, Nairobi. In the study, physical representation of the target population was considered and this consisted of individual households and institutions that were potential members of the sample. The sampling frame was obtained from Nairobi City Council (NCC) Planning department and a non-probability sampling technique was used in this study, where three villages were selected to participate in the study. The principle of purposive sampling selection was used in the study. It is a procedure by which the elements in the population do not have any probabilities attached to their being chosen as sample subjects. The research covered three villages of the total thirteen in the area and the villages selected included Lindi, Laini Saba and Kisumu Ndogo. The subjects in this study were family units and 50 subjects were interviewed in each village. Additionally, 2 institutions were interviewed in each village. In total, 150 family units and 6 institutions were interviewed. The major methods used to obtain data in the study included personal interviews, semi-structured questionnaires and observation techniques. A normative interview approach was used during the study and a forty-five minute interview protocol was designed to address the specific research questions.
The findings revealed that there was a positive attitude of the people of Kibera towards community participation but without a clear knowledge and practicality to forge forward, little could be achieved in the upgrading process. Further, community participation in Kibera was not oriented towards community empowerment. A number of barriers to community participation were also identified. These were grouped into personal, service, community and policy barriers. Another key finding was that crippling poverty hurt the community’s desire to participate either partially or fully in the implementation and completion of their upgrading systems. Building capacity and recourses base was found to be the key policy implementation strategy in encouraging community participation in the planning and development of Kibera. A participatory plan-making process was necessary, not only to be accountable and open with as wide a range of consultations but also to be a judicious mix of top-down and bottom-up approaches. The main long-term coping strategy was to liaise with other donors for resource, capacity building, networking and moral support. This could be achieved through partnerships and collaboration with corporate bodies, development and non-governmental organizations who were interested in this noble course.

The main recommendation arising from this study is that Community Participation in Kibera should permeate every level of decision making, either indirectly or directly. Additionally trust should be built to increase effectiveness by sharing perceptions, insights and knowledge through synergy. Community-based strategies and policies should emphasize the importance of working directly with the community residents and their organizations as investment is all very well, but the benefits are unlikely to accrue to the neediest unless they are active participants in the decision making process.
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>BBC</td>
<td>British Broadcasting Corporation</td>
</tr>
<tr>
<td>BCDP</td>
<td>British Council of Disabled People</td>
</tr>
<tr>
<td>CBD</td>
<td>Central Business District</td>
</tr>
<tr>
<td>CBO</td>
<td>Community Based Organization</td>
</tr>
<tr>
<td>LED</td>
<td>Local Economic Development</td>
</tr>
<tr>
<td>NCC</td>
<td>Nairobi City Council</td>
</tr>
<tr>
<td>NGO</td>
<td>Non Governmental Organization</td>
</tr>
<tr>
<td>OECD</td>
<td>Organization for Economic Co-operation and Development</td>
</tr>
<tr>
<td>SAP</td>
<td>Structural Adjustments Programme</td>
</tr>
<tr>
<td>UES</td>
<td>Urban Environmental Sanitation</td>
</tr>
<tr>
<td>UN</td>
<td>United Nations</td>
</tr>
<tr>
<td>UNCHS</td>
<td>United Nations Centre for Human Settlements</td>
</tr>
<tr>
<td>UN ESCAP</td>
<td>United Nations Economic and Social Commission for Asia and the Pacific</td>
</tr>
<tr>
<td>USIU</td>
<td>United States International University</td>
</tr>
</tbody>
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ABSTRACT

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CHAPTER 1

1.0 INTRODUCTION

1.1 Background of the Problem
According to Syagga, Mitullah and Gitau (2001), informal settlements in Nairobi have grown gradually since 1902 when the British colonial government officially founded the City of Nairobi. So too have the responses to regulating and upgrading the settlements. Colonial government policy towards informal settlements was predicated on containment, labour supply, public health and racial segregation. Amani Forum (2002) in their fact-finding mission stated that Kibera is one of six slum dwellings in Nairobi, Kenya. It has a population of approximately 800,000 people and covers about 4 square kilometers. It is situated about 5 kilometers from the Central Business District (CBD). Kibera consists of thirteen villages namely: Makina, Kisumu Ndogo, Gatwekera, Soweto, Kianda, Lindi, Silanga, Mashimoni, Soweto of Laini Saba, Laini Saba, Kambi Muru, Raila Quarry and Kichinjio.

British Broadcasting Corporation (BBC) News Africa (2001) in their analysis of Kenya slum wars gave a detailed account of how the Kibera slum problem degenerated. In the 1920s the British colonial government decided to let a group of Nubian soldiers settle on a forested hillside outside Nairobi. The Nubians - an ethnic group from neighbouring Sudan had been fighting on the side of the allies in World War One, as part of the King's African Rifles. For some reason, though, the British never gave the Nubians the title deeds to their new land. The soldiers built homes, and set up businesses. But they were squatters - with no legal rights. They called the place - Kibra, meaning jungle. Over the years, other tribes moved into the area. Some managed to carve out their own plots of land. But most became tenants - renting their huts off the Nubian landlords. Additionally, huge swaths of land have been taken over by the government to build new housing estates. 'Ironically, those living in the slums have not benefited from any of these modernizations.' They have been
crammed into smaller and smaller areas and government investment in Kibera remains minimal.

Due to the very complex nature of informal settlement development in Nairobi, attempts to upgrade Kibera have had mixed results. In 1986, the Government ushered in the implementation of Structural Adjustments Programmes (SAPs), which were expected to lead to economic growth (United Nations Centre for Human Settlements - (UNCHS) Habitat, 2001). Structural Adjustments Programmes (SAPs) required that the state withdraw from service provision and government subsidies. Needless to say, this adversely affected the poor, who had to dig deeper into their pockets to benefit from cost-sharing services, such as health care and education. Service provision in the country’s urban slums deteriorated. In the same report, the Nairobi City Council (NCC), which is charged with the provision and management of services within its jurisdiction, could not cope with the problem due to a combination of factors: the poor economic situation; rapid population growth; limited resources; inefficient revenue collection; strict control by the Ministry of Local Government; and poor management. On their part, donors have had no clear approach to working with informal settlements; they lack coordination and do not view ‘urban’ as a funding category.

On her part, Juma (2002) reckons that hell on earth may be a kind description for all the ten Nairobi slums. According to Juma, the story of and solution to the informal settlement in Nairobi is unlikely to have a happy ending any time soon - not until the authorities recognize them and the people who live in them as legitimate residents.

1.2 Statement of the Problem
Informal settlements house a large proportion of the city’s population, which is often poor, underprivileged and restless. These settlements are in many cases devoid of decent shelter, security and basic infrastructure, which result in terrible living conditions with its concomitant health implications to the poor inhabitants (Wasike, 2002). A concerted, sustained and integrated approach to
the re-development of the settlement in Kibera may result in a better solution to the problems that bedevil the area, rather than the ad hoc approach that has often been adopted by the government.

Turner (1972) stated that, "When dwellers control the major decisions and are free to make their own contribution to the design, construction or management of their housing, both the process and the environment produced stimulate individual and social well-being". Blair (1998) also stated that, "experience shows that success depends on communities themselves having the power and taking the responsibility to make things better. A new approach is long overdue. It has to be comprehensive, long-term and founded on what works".

Focusing on community participation, good governance and public-private partnerships, the practical aim set out in this study was therefore to identify the factors (knowledge, attitudes and practices) that influence community involvement, commitment and participation in order to adapt appropriate strategies towards upgrading and transferring decision making to the people. The knowledge gap addressed by this study was in the methodology adopted in seeking views from the community. The study thus set to assess the role the individuals in the community played in the process of planning and development of their community and where that role fitted into the greater scheme of upgrading systems in Kibera, Nairobi.

1.3 Research Objectives

1.3.1 Purpose of the study

The general purpose of this study was to establish the level of community participation in the planning and development of upgrading systems in Kibera, Nairobi. This was done through assessment of factors that influenced their involvement, commitment and participation. Therefore the statement of the problem was to investigate the levels and nature of community participation in upgrading systems in Kibera.
1.3.2. Research Questions

The study was guided by the following research questions.

1. To what extent are communities involved in the planning, design and implementation of upgrading projects in Kibera?
2. What are the key barriers/hindrances to the community participation in Kibera?
3. What are the long-term coping strategies of communities in upgrading systems in Kibera?
4. What policy implementation strategies should be put in place in Kibera to encourage community participation in the planning and development of the area?

1.4 Justification of the Study

The government, international financial institutions and aid agencies have concentrated their efforts in rural areas, assuming that the poor in the city are comparatively privileged when it comes to community involvement and support in their development issues. Increased community involvement is critical, whether in small-scale projects at the local level or national efforts to build essential infrastructure. Community participation, good governance and public-private partnerships are thus important.

The study sought to increase the access to and use of the people of Kibera, who bring a diversity of knowledge, technical capabilities, and cultural perspectives to community participation and decision making processes in Kibera. Specifically the study placed importance on stakeholder involvement through the establishment of systems and long-term coping strategies for community participation. Working in association with local authorities, relevant government ministries and other stakeholders, the study sought to galvanize public participation as a tool in the development of Kibera, Nairobi.
1.5 Scope of the Study

Jefferson (1820) stated that “I know of no safe depository of the ultimate power of society, but the people themselves; and if we think them not enlightened enough to exercise their control with a wholesome discretion, the remedy is not take it from them, but to inform their discretion”.

Given the large population living in Kibera, Nairobi, it was not feasible for the researcher to listen to and analyze the views of everyone living there. Sample subjects (150 family units and 6 organizations/institutions) were interviewed in attempting to answer the research questions. The study was carried out for a total period of two weeks, during which all the sample subjects were interviewed.

1.6 Definition of Terms

1.6.1 Housing

According to the Habitat (1996), adequate shelter means more than a roof over one’s head. It also means adequate privacy; adequate space; physical accessibility; adequate security; security of tenure; structural stability and durability; adequate lighting; heating and ventilation; adequate basic infrastructure, such as water supply, sanitation and waste-management facilities; suitable environmental quality and health related factors; and adequate and accessible location with regard to work and basic facilities; all of which should be available at an affordable cost.

1.6.2 Slums

According to the World Bank Group (2001), these are neglected parts of cities where housing and living conditions are appallingly lacking. They range from high density, squalid central city tenements to spontaneous squatter settlements without legal recognition or rights, sprawling at the edge of cities.

1.6.3 Local Economic Development (LED)

According to the World Bank Group (2001), LED is about local people working together to achieve sustainable economic growth that brings economic benefits
and quality of life improvements for all in the community. Community is further defined as a city, town, metropolitan area, or sub national region.

1.6.4 Community Participation
According to Ngum (2000), community participation can be defined as a social process towards the development of self-reliance. This translates the endogenous capacity of the community to influence the decision making to the people in the community.

1.6.5 Strategy
According to Mintzberg and Quinn (1996), a strategy is a pattern or plan that integrates an organization's major goals, policies, and action sequences into a cohesive whole.

1.6.6 Strategic Planning
It is the mechanism whereby a firm organizes its resources and actions to achieve its objectives. It is a formal rather than an informal process. It is essentially a people interactive process where the planner is only one in the cast of characters involved (Mintzberg and Quinn, 1996).

1.6.7 Strategic Management
Chandler (1962) views strategic management as the set of decisions and actions that result in the formulation and implementation of plans designed to achieve a company's objectives.

1.7 Chapter Summary
Chapter one presents the background of the problem and identifies the research questions addressed in this study. As a justification in this chapter, the researcher sought to find additional underlying factors to be considered in the overall strategic formulation of policies in Kibera.

Chapter two provides a review of past literature relating to the research questions.
CHAPTER 2

2.0 LITERATURE REVIEW

2.1 Introduction
This chapter is organized as follows: Section 2.2 is on community participation in upgrading projects; Section 2.3 discusses barriers to community participation in upgrading systems in Kenya; Section 2.4 highlights on long-term coping strategies and suggests goals and approaches to community participation in upgrading systems; Section 2.5 is on policy implementation strategies: objectives and policy issues; and, Section 2.6 is on chapter summary.

2.2 Community Participation in Upgrading Projects
To be able to assess the extent of community participation, the study looked into the community, governance, community governance model, and participatory development.

2.2.1 The Community
According to Turner (1972), "when dwellers control the major decisions and are free to make their own contribution to design, construction or management of their housing; both the process and the environment produced stimulate individual and social well being. When people have neither control nor responsibility for key decisions in the housing process, dwelling environments may instead become a barrier to personal fulfillment and a burden on the economy." Its interpretation stresses the importance placed on people and communities in controlling and contributing to the major decisions in the community development.

According to Abonyo (2001), the community is the most important actor with a major role to play in the development of its projects. The inhabitants of Kibera thus have a responsibility than other actors, and these responsibilities span throughout the project's life i.e. from inception stage right through the maintenance stage. Abonyo further says that community groups should be facilitated to participate in development and also be helped to understand and
exercise their rights and responsibilities through open and effective participatory process. They should in her view, be prepared to participate in current and future decision-making processes.

2.2.2 Governance

The terms ‘governance’ and ‘good governance’ are being increasingly used in development literature. Bad governance is being increasingly regarded as one of the root causes of all evils within our societies. According to the World Bank (1997), the concept of ‘governance’ is complex. The term, in accordance with a World Bank definition, denotes the use of political authority and exercise of control in a society in relation to the management of its resources for social and economic development. This broad definition encompasses the role of public authorities in establishing the environment in which economic operators function and in determining the distribution of benefits as well as the nature of relationship between the ruler and the ruled (World Bank).

According to OECD (1993), governance is the process of decision-making and the process by which decisions are implemented (or not implemented). And since governance is the process of decision-making and the process by which decisions are implemented, an analysis of governance should focus on the formal and informal actors involved in decision-making and implementing the decisions made and the formal and informal structures that have been set in place to arrive at and implement the decision.

The government is one of the actors in governance. All actors other than the government and the military are grouped together as part of the “civil society.” In some countries in addition to the civil society, organized crime syndicates also influence decision-making, particularly in urban areas. The situation in urban areas is thus much more complex. Figure 1 provides the interconnections between actors involved in urban governance (United Nations Economic and Social Commission for Asia and the Pacific (UN ESCAP), 2002).
According to UN ESCAP (2002), formal government structures are one means by which decisions are arrived at and implemented. At the national level, informal decision-making structures, such as "kitchen cabinets" or informal advisors may exist. In urban areas, organized crime syndicates such as the "land Mafia" may influence decision-making. In some rural areas, locally powerful families may make or influence decision-making. Such, informal decision-making is often the result of corrupt practices or leads to corrupt practices.

It suffices at this point to examine the key characteristics of good governance. These can be represented as shown in figure 2 below.
2.2.2.1 Characteristics of Good Governance

![Characteristics of good governance](Image)

Figure 2: Characteristics of good governance
Source: Adapted from UN ESCAP, 2002.

Figure 2 above gives eight major characteristics of Good Governance. Good Governance is participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law (UN ESCAP, 2002). It assures that corruption is minimized, the views of minorities are taken into account and that the voices of the most vulnerable in society are heard in decision-making. It is also responsive to the present and future needs of society. Participation by both men and women is a key cornerstone of good governance. Participation needs to be informed and organized and could be either direct or through legitimate intermediate institutions or representatives.

Good governance requires fair legal frameworks that are enforced impartially. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It requires that institutions and processes try to serve all stakeholders within a reasonable timeframe. Good governance requires mediation of the different interests in society to reach a broad consensus in society on what is in the best interest of the whole community and how this can be achieved. It also requires a broad and long-term perspective on what is needed for sustainable human development and how to achieve the goals of such development. This can only result from an understanding of the historical, cultural and social contexts of a given society or community (UN ESCAP, 2002).
A society’s well being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of society. This requires that all groups, but particularly the most vulnerable, have opportunities to improve or maintain their well-being. According to OFWAT (2001), Good Governance means that processes and institutions produce results that meet the needs of society while making the best use of resources at their disposal. The concept of efficiency in the context of good governance also covers the sustainable use of natural resources and the protection of the environment. Lastly, accountability, which cannot be enforced without transparency and the rule of law, is a key requirement of good governance.

In conclusion, it should be clear that good governance is an ideal, which is difficult to achieve in its totality. Very few countries and societies have come close to achieving good governance in its totality. However, to ensure sustainable human development, actions must be taken to work towards this ideal with the aim of making it a reality (OFWAT 2001).

2.2.3 Community Governance Model

The community governance model provides a framework for community’s roles activities. It articulates the importance placed on people and communities and identifies ways of acting on the values and principles. The following values are core to the community governance model and stakeholders’ role in strengthening communities: people; citizen participation; families; diversity; equity; and voluntary involvement and contribution (Franceys, 2002). The community governance model is summarized in the following table.

Table 1: Community Governance

<table>
<thead>
<tr>
<th>Community Leadership</th>
<th>Community Empowerment</th>
<th>Community Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>➢ Shared visions and insight</td>
<td>➢ Access to resources</td>
<td>➢ Sense of belonging</td>
</tr>
<tr>
<td>➢ Community participation</td>
<td>➢ Power sharing</td>
<td>➢ Sense of caring</td>
</tr>
<tr>
<td>➢ Co-operation behaviours</td>
<td>➢ Devolution of decision making</td>
<td>➢ Sense of place</td>
</tr>
<tr>
<td>➢ Community advocacy</td>
<td></td>
<td>➢ Valuing diversity</td>
</tr>
</tbody>
</table>

Source: Adapted from Auckland City Action plan, (1999/2000), by Franceys.
The community governance model captures the following key elements of a strong community: community leadership; meaningful participation; cooperative and collaborative behaviour; access to resources; and community connectedness or ‘sense of belonging’ (Franceys, 2002).

2.2.3.1 Community Leadership

Community leadership reflects the concept of people and groups working together to achieve common goals and visions. Inherent in this concept is the idea that leadership may come from many sources: individuals, community groups, churches, agencies, governments, and business. Also implicit in the concept is the idea that different people, groups and sectors will have different styles of leadership and preferred ways of participating: e.g. formal or informal; verbal or written; as individuals or through spokespeople such as elders and church leaders (Franceys, 2002). The concept necessitates an acknowledgement of the differences that exist within the community whilst recognizing that despite these differences, people can find commonalities and shared goals to work towards (Franceys).

2.2.3.2 Community Empowerment

According to OECD (1993), empowered communities are ones, which either have or are able to access resources. Resources needed to meet a variety of needs falling along a continuum from basic needs (food, shelter and income) to higher level needs (social interaction, support and self-development).

‘Empowerment’ is essential to participatory development and is enhanced when the organizations in which people participate are based on a democratic approach, strengthening the capacity of members to initiate actions on their own, or negotiate with more powerful actors (OECD, 1993).

According to Wilcox (1999), to empower a community it is often necessary to devolve decision-making. Such devolution is not about abducting responsibilities and should only occur when the group, organization or community has the necessary skills, knowledge, support and infrastructure
needed to act. However, the concept need not be thought of in absolutes: the notion of partnerships, for example, has particular reference within this context (Wilcox).

2.2.3.3 Community Ownership

Community ownership encompasses the way in which people are connected to their communities so they feel they belong and feel they want to look after their communities. The willingness to ‘own’ the community’s problems also signals a willingness or interest in becoming part of the solution. Community ownership, therefore, captures the notion of community sustainability: protecting the community for current and future generations (Franceys, 2002).

2.2.3.4 Community Participation

According to Franceys (2002), community participation is the contribution made by individuals and groups to the decision-making and development of the community. Active and meaningful participation of stakeholders in community’s policy development, service planning and advocacy should be encouraged. Whenever an area plan, a strategic plan, or any other current planning is undertaken, there must be continuous and maximum participation by those who will be affected by the plan, including committees of residents who live in or near the plan area, merchants, and others who do business in the plan area, as well as members of interested groups and the general public (Hennart, 2002).

A report by the World Bank (2001) on urban upgrading says that some people believe that it is quicker and less troublesome if we just go ahead and contract the work out thus avoiding such problems as a potential loss of control or inefficient disbursement. However, the report says it may be quicker, but experience from projects all over the world points to one fact: community participation is vital for success. Why is this? The community knows the area and their problems better than practitioners as outsiders will ever know. According to the same report, getting their input and having them decide the nature of a project will develop a sense of ‘ownership’ and increase the projects’ chances for success. Sustainability is another factor - without the
backing of the community, the project will have difficulty in continuing (World Bank).

Public participation is an important component of successful planning and community building and decision making. Residents, business people, and property owners need and deserve ongoing communication regarding projects and issues that affect their community.

According to Hennart, (2002), community involvement plan should thus be designed to provide the public with accurate, timely, and understandable information and/or access to information needed to understand the projects as they move forward. Further, the design will provide the public with the opportunity to give informed and meaningful input, ensure adequate time and opportunity for the public to provide input and for that input to be considered. Accordingly, it will respect and give full consideration to community input, and assist the public in understanding the projects decision-making process during projects design and implementation and the community's role in that process.

A carefully constructed participation program encourages an open exchange of information and ideas. This requires consideration of an array of opinions, especially those of underserved or underrepresented minority, low income, elderly, and disabled populations. Together the participants establish a collective vision for the future of the community, and share responsibility for problems as well as their solutions. Community participation thus assures that the solutions are tailored to local needs (World Bank, 2001).

2.2.3.5 Community Inequality and Social Exclusion

Nowhere is inequality more apparent than in urban areas where the rich and poor live and work in close proximity to each other, but rarely develop relationships. Inequality can threaten social cohesion. Barro (1991) identifies a positive correlation between inequality and crime and violence, which can hinder economic growth. Inequality is exemplified and sometimes exacerbated through housing (World Bank, 2001). In most cities, housing separates people by income (Van Weesep and Van Kempen, 1998). According to them, many urban
poor live in slums or ghettos like Kibera, which are physically isolated from business, health facilities and public transportation.

The spatial isolation of the poor is compounded by social isolation. The rich and the poor rarely participate in the same activities, groups and associations. They do not have social ties to one another. Lack of connections to those with resources, both physical and otherwise, results in fewer opportunities for the poor. Spatial and social isolation - a lack of bridging social capital can lead to a cycle of poverty, i.e. children of the poor parents have few or no opportunities to lift themselves out of poverty (Wilson, 1987).

2.2.4 Participatory Development

According to OECD (1993), participatory development, or what is sometimes referred to as “popular participation”, may be defined as a process by which people take an active and influential hand in shaping decisions that affect their lives. Popular participation may involve difficult and long processes but brings many benefits which include: greater efficiency and honesty of officials and contractors because they are under public scrutiny, ‘ownership’ of the activity by community-based organizations. Through empowerment, participation can also lead to changes in knowledge, skills and the distribution of power across individuals and communities thereby improving social equity (OECD).

2.2.4.1 Public - Private Partnerships

Recognizing the limitations of public providers in providing adequate urban services, and the impossibility that non-governmental organizations (NGOs) will meet the needs of all the urban poor, governments around the world are now experimenting with radical institutional reform involving the private sector (World Bank, 1997).

The term ‘partnership’ describes the relationship between the stakeholders, based on the understanding that more benefits can be obtained for the poor more quickly when organizations work together towards a common goal (Ofwat, 2001). Each entity contributes its particular skill to make the sum greater than
the parts, with a commitment to support other partners. In the most successful relationships, the partners remain fully committed to the overall goal, knowing that they are each giving resources and receiving benefits as appropriate (Ofwat).

According to the World Bank (1997), variations of private sector participation exist along a continuing spectrum and can be applied in different ways to different parts of the environmental health “supply chain”: abstraction, treatment, transmission, distribution, collection, treatment, recycling, and disposal (of solid waste and wastewater). Table 2 below summarizes the main contract types with relevant additions and a ranking for their potential to serve the poor.
**Table 2. Potential of Public-Private Partnership Models to Serve the Poor**

<table>
<thead>
<tr>
<th>Option</th>
<th>Potential to Serve the Poor</th>
<th>Asset Ownership</th>
<th>Operation and Maintenance</th>
<th>Capital Investment</th>
<th>Commercial Risk</th>
<th>Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>Household management</td>
<td>**</td>
<td>Private household</td>
<td>Private household</td>
<td>Private with public</td>
<td>Private household</td>
<td>Indefinite</td>
</tr>
<tr>
<td>Community management</td>
<td>***</td>
<td>Community</td>
<td>Community</td>
<td>Public with community</td>
<td>Public with community</td>
<td>Indefinite</td>
</tr>
<tr>
<td>Small-scale IPS</td>
<td>***</td>
<td>Private business</td>
<td>Private</td>
<td>Private</td>
<td>Private</td>
<td>Variable</td>
</tr>
<tr>
<td>Service contract</td>
<td>*</td>
<td>Public</td>
<td>Private and public</td>
<td>Public</td>
<td>Public</td>
<td>1-2 years</td>
</tr>
<tr>
<td>Management contract</td>
<td>*</td>
<td>Public</td>
<td>Private</td>
<td>Public</td>
<td>Public</td>
<td>3-5 years</td>
</tr>
<tr>
<td>Lease</td>
<td>*</td>
<td>Public</td>
<td>Private</td>
<td>Public</td>
<td>Shared</td>
<td>8-15 years</td>
</tr>
<tr>
<td>Concession</td>
<td>***</td>
<td>Public</td>
<td>Private</td>
<td>Private</td>
<td>Private</td>
<td>25-30 years</td>
</tr>
<tr>
<td>Build-operate-transfer</td>
<td>*</td>
<td>Private and public</td>
<td>Private</td>
<td>Private</td>
<td>Private</td>
<td>20-30 years</td>
</tr>
<tr>
<td>Divestiture</td>
<td>**</td>
<td>Private</td>
<td>Private</td>
<td>Private</td>
<td>Private</td>
<td>Indefinite (may be limited by license)</td>
</tr>
</tbody>
</table>

*** Most potential, — neutral, IPS independent providers

Source: Adapted from World Bank (1997).

Each stakeholder is necessary but not self-sufficient. And the reason most often given for involving the private sector is that it can provide the investment capital that governments cannot. Private operators can “break through the performance ceiling” by being allowed to charge viable tariffs and to manage their operations without undue political, individual, and labor interference, which often hampers public providers (World Bank, 1997).

Figure 3 below sheds light on the private - public partnerships in developing countries.
Figure 3 shows the rise in numbers of reported public-private partnerships during the period 1991 - 2001 in developing countries. However, these figures only include reported data on the larger water and sanitation partnerships and cannot do justice to the myriad micro- and small enterprises, NGOs, and community-based organizations (CBOs), which are private organizations and have been serving the poor without much support or recognition from the formal providers (Franceys, 2002).

2.2.4.2 Deciding and Acting Together

Participation remains a critical issue in development. Wilcox (1999) reinterprets Einstein's ladder of participation (1969) as follows:

Information: “The least you can do is tell people what is planned.”

Consultation: “Identify the problems, offer a number of options, and listen to the feedback.”

Deciding together: “Encourage others to provide some additional ideas and options, join in deciding the best way forward”

Acting together: “Not only do different interests decide together what is best, but they also form a partnership to carry it out”
Supporting independent community initiatives: "Help others do what they want perhaps within a framework of grants, advice and support provided by the resource holder." (Wilcox)

Genuine ‘partnership’ is defined as ‘deciding together’ and ‘acting together’ (Wilcox, 1999). At the levels of information and consultation the power remains with the external body, whereas in supporting community initiatives the power lies with the community. Organizations involved in this process therefore need to inform and consult each other but can deliver more when they decide and act together, which is what government, private operators, and the community should do to find creative and comprehensive ways to serve the poor (Wilcox).

In conclusion therefore, public-private partnerships thus need to incorporate the community in services for the poor. Tripartite partnerships are not necessarily easier to implement, but the benefits are worth the costs.

2.3 Barriers to Community Participation in Upgrading Systems in Kenya
Kenya is a country of about 30.4 million inhabitants most of whom live in the rural areas. The urban population constitutes about 28% of the population, a quarter of which lives in Nairobi (Wasike, 2001).

Independence from Britain in 1963 brought with it a lot of hope in the citizenry in all facets of life including housing (Wasike, 2001). There was a massive migration of inhabitants from the rural areas to the urban areas, mainly in the hope of a better life, seeking employment opportunities, among other things. According to Wasike, Nairobi as the capital city, received the largest group of the immigrants and in relation to housing, the government failed to plan in order to absorb them. He went on to say that the demand for housing thus outstripped the supply and the administration then allowed the new immigrants who could not find accommodation in the low-cost estates, to put up shacks in the urban centers as long as they were within the Central Business District (CBD): thus emerged many of the squatter settlements.
Due to about two decades of unfavourable economic conditions, under-investment in urban infrastructure and unparalleled natural growth rates, coupled with rural-urban migration, informal settlements currently account for a substantial proportion of the urban population of Kenya and for the case of Nairobi city; more than 50% of the population now lives in these settlements (Obudho, 1994). According to Obudho, lack of a clear policy framework and an effective programme for meeting the needs of the urban poor, has resulted in rapid expansion and densification of informal settlements such as Kibera, which are left without adequate planning for infrastructure and services.

Wasike (2001) in his report stated that insecure land tenure remains the primary constraint in improving conditions in these settlements, and has led to the prevailing situation where absentee landlords build semi-permanent structures for rent, without providing water and other Urban Environmental Sanitation (UES) facilities for their tenants. Wasike further added that the government considered the settlements an eyesore: an indication of failure in governance. Therefore, in the 1960s up to the 1980s, informal settlements were dealt with through the policy of slum clearance and re-housing/resettlement projects. These demolitions proved unsuccessful as demolition of one settlement in one part, resulted in the dwellers moving elsewhere to start new ones, as they could not afford the new rents or mortgage payments.

In 1990, the Government formulated a policy on informal settlements in a Draft Sessional Paper on housing emphasizing the need to upgrade slum areas with minimum displacement of the dwellers (Alder, 1994). He added that to complement the residential development, employment and other income generating activities were to be incorporated in the upgrading proposals. In his conclusion Alder noted that this however, hadn’t always been the case in Kibera as slum clearance was experienced in the 1990’s particularly with the mushrooming of affluent estates like Highrise and Otiende, which effectively caused a number of barriers to community participation. These barriers can be grouped into personal, service, community and policy barriers.
2.3.1 Personal Barriers
Dislocated lives and support that fail to prioritize the quality of interpersonal relationships as a service outcome meant that there was a lack of integration to community participation. Few friends and limited contexts for meeting them deny people intimacy and the prospect of relationships of great interpersonal depth. It frustrates the desire of people have to do value, and leaves them feeling barely visible. An important consequence of participants restricted friendship field is the lack of access they have to other networks and the possibility for expanding participation through them (Abonyo, 2001).

Lack of personal and social confidence in the skills needed to negotiate novel or unpredictable situations can also stop community participation. Additionally, the unwillingness of service users to speak out about service issues and not wanting to complain for fear of compromising support, occasionally limit both the range and frequency of community participation.

2.3.2 Service Barriers
One of the main service barriers is that of limited imagination. Some people report that their lifestyle is limited by the imagination of supports and lack of belief in their potential. People with multiple disabilities for example are routinely steered towards community participation as the most appropriate form of engagement when they expressed the greatest desire to find employment (Imrie, 1996).

Inadequate communication support and the use of time are other service barriers. In this day of technology explosion, it is appalling that people are denied access to individualized communication technology. The quality of support is equally important. It is not just the amount of time, but what happens in that time that people think is critical. Time spent hanging out talking about seemingly unimportant stuff actually makes people who they are.

A perceived lack of transparency about what is or is not happening for participants is another common hindrance to community participation. There is
always a lack of clarity about the respective roles of service users and providers with the danger of each party easily forming a view that community participation is the primary responsibility of the other partner in the relationship (Harrison & Haklay, 2002).

Additionally, there appears to be no clear consensus about whether people felt participation is made easier or more preferable when they go out with individual support or in a group. Serious limitations also exist in available support services, particularly for young people leaving school.

2.3.3 Community Barriers
Despite a universal aspiration to work, not many people appear to be in paid employment for more than three hours a day. One of the consequences of a lack of access to employment is having to cope with limited material resources.

Community hostility, including incidents of public intolerance and taunting, is another barrier to community participation. To others, the fear of judgment and of being made fun of makes parts of their community inaccessible (BCDP, 2003).

A number of people wanting to continue with their education find it hard to support them and find appropriate courses. Many feel that schooling has left them unable to compete in the labour market and see education and training as a way to enhance their attractiveness to employers. For people who are less mobile, their resultant lack of proximity to community resources and to communities of interest, limits the forms of participation available to them (Byrne, 2001).

2.3.4 Policy and Policy Implementation Barriers
People feel a sense of belonging to communities and they experience being valued by them. No valuable knowledge can come from counting where, when or how often people were in community settings. What is important is knowing whether they feel included or valued (BCDP, 2003).
Where people live has major implications for their ability to participate in their community. Topography, proximity to amenities, the physical characteristics of the neighbourhood, accessibility to family and friends, the culture of neighbourly and distance to public transport all influence the accessibility of community to people. The lack of appropriate housing stock can also seriously interfere with people's ability to control all these variables.

Getting community participation in a sustainable planned urban development process should emerge as the prime objective of all the stakeholders. Clearly the canvas has to be manageable and slowing down the rates of urban growth is a major policy objective before aiming for more livable environments with beneficiary participation (Imrie, 1996).

A lot of urban ills at present are due to confusing and conflicting planning processes. Transparency is lacking and there are too many actors on the urban scene, generally working at cross-purposes. A largely illegal built form is the result.

2.4 Long-term Coping Strategies in Community Participation
An important part of corporate strategy is an appropriate organizational design for the implementation of projects. Projects are basically building blocks in the design and execution of corporate strategies, requiring ongoing strategic management and surveillance. Without the proper mechanism for aligning projects with strategic objectives, communities will experience imprudent financial performance, delay of effective strategies, wasted resources and support of culture that condones poor quality in the management of corporate resources (Bigelow, 1996).

According to Yoshino and Rangan, (1995), key elements of past and future community involvement programs ensures that the benefits of the community as a whole are balanced with the advantages to discrete elements of the community and that community dialogue is conducted in an interactive manner. Complex issues are consequently explored from a variety of perspectives rather than a presentation from one perspective. Community
understanding is thus enhanced when members are actively involved, and the environment facilitates opportunities for participation, dialogue and interaction. Community participation is best achieved when the roles and responsibilities of members and elected officials are melded and all groups actively participate in public dialogue by using a diversity of communication and participation methods, keeping the tradition of the spoken and written word while embracing emerging technologies.

2.4.1 Goals and Approaches to Community Participation in Upgrading Systems

According to Hennart, (2002), the following goals and coping strategies to community participation have been suggested:

2.4.1.1 Early and ongoing involvement

Maximization of opportunities is critical in early notification of proposed projects, or projects/issues under consideration using signs, information display boards, web site postings, written correspondence, and other methods, as they become available. Additionally, instituting and using public involvement plans to identify interested parties, their concerns and interests, and opportunities for providing information and involvement is important.

However, the project developers, including public entities, are encouraged to take responsibility for sharing information, framing issues surrounding projects, and show accountability for being responsive to constructive community comments. Developers should be able to demonstrate community involvement and how their comments were incorporated into proposal/issue recommendations. Through partnerships with the real estate community, corporations, and other public entities, the public are informed and provided with accurate and complete information regarding projects and issues of concern to their communities (Hennart, 2002).
2.4.1.2 Community-wide representation

Recognize the importance of determining the range or distance of public notification based on the characteristics of the specific case or situation. All notification issues should focus on impacts at the community level. Creating and using community-wide mailing lists that include representation from homeowners associations, neighbourhood and service groups, the faith community, the schools, the business community and other special interest groups can achieve this. The use of written and electronic means as they become available will provide community-wide information and notification of public involvement opportunities in ways that communicate with the diverse population.

Incorporate public involvement opportunities for a broad cross-section of community demographics including school age children, students, and seniors by utilizing communication vehicles that reach minority populations within the community (Hennart, 2002). Additionally, encouraging and increasing voter participation through broad distribution of information materials via mail, technology and printed materials to ensure community-wide representation on issues that require ratification should be enhanced.

2.4.1.3 Publication and processing of community issues

Provision of multiple locations/times/communication avenues for public involvement to accommodate a wide diversity of lifestyles, work schedules, and time available for input from the community is important. It calls for the use of a wide variety of communication tools, resources, and techniques to reach a broad cross-section of residents (Hennart, 2002).

2.4.1.4 New ways and technologies of communication

According to Hennart, (2002), provision of multiple opportunities for input through the use of technologies such as on-line public comments, on-line dialogues, on-line and computerized questionnaires and surveys, and
computerized survey techniques or mechanisms is useful. Information should vary and include written and spoken communications, city and neighbourhood web sites, electronic notices, cable TV, radio broadcasts, electronic mailing, and other current and future communication technologies. Adapting to these communication techniques and technologies relevant to each situation is recommended and the use of data visualization and simulations to explore complex community issues should be encouraged.

2.4.1.5 Availability of facts and information

Use of appropriate systems to track, measure, and identify community issues, community trends, and community concerns is recommended. This ensures the provision of community-wide access to data that reflects current facts, figures, demographics, trends analysis, etc. For example, creation of public information materials that accurately reflect the facts surrounding issues, i.e. the purpose, timing, and need/benefits for a project or proposal, and where possible, which explain the differing perspectives being heard within the community is important.

2.4.1.6 Community partnerships, catalysts, and networks

Hennart, (2002) recommends coordination with community based organizations (CBOs) to seek neighbourhood partnerships, information, and involvement by clarifying the community’s role in responsible civil dialogue on community issues. Initiation and continuation of the tradition of “Community Visioning” to re-evaluate community issues, goals, and vision for the future are key issues.

2.5 Policy Implementation Strategies

2.5.1 Objectives and Policy Issues

According to Blakely (1994), sustainable community systems depend upon comprehensive strategies comprising of specific objectives and coordinated activities addressing six main strategic aspects: political, institutional, social, financial, economic and technical.
2.5.1.1 Political Aspects
These concern the formulation of goals and priorities, determination of roles and jurisdiction, and establishment of appropriate legal and regulatory instruments:

Community's goals and priorities regarding development, environmental protection and service provision should be clearly articulated to facilitate the design of appropriate measures and mobilization of public support for the required expenditures and efforts.

Jurisdictions and roles must be clearly defined to enable an efficiency division of tasks and ensure the political sustainability of community systems. A "Strategic Plan" would provide guidelines for implementing the designated roles of government agencies and other actors.

Supporting community byelaws, ordinances and regulations should be few in number, transparent, unambiguous and fair.

2.5.1.2 Institutional Aspects
These comprise the distribution of functions and responsibilities for the community between public and private sector stakeholders. Typical themes concern the organizations, procedures and methods for operating and maintaining community systems, and required capabilities of the actors.

2.5.1.3 Social Aspects
Social aspects of community concern the generation and handling patterns of households, conditions for community involvement in management and social conditions of the inhabitants. Achieving equitable service access in the face of poverty and informal residential growth is a major social issue. Relevant programmes aim to improve the social status and security of informal sector workers, reduce existing antagonism and establish productive working relationships between formal and informal sector management activities (Blakely, 1994).
2.5.1.4 Financial Aspects
These comprise budgeting and cost accounting, capital investment, cost recovery and cost reduction. Application of sound financial planning programming and budgeting methods is essential for efficient management. The major issue in this regard concerns the incentive and will of authorities to introduce an adequate level of cost control, financial discipline and accountability into the community administration (Blakely, 1994).

2.5.1.5 Economic Aspects
These concern the impact of service on economic activities, cost-effectiveness of community systems, macro-economic dimensions of resource use and materials conservation and income generation within the community (Blakely, 1994).

2.5.1.6 Technical Aspects
These are concerned with planning and design, collection and transfer of systems. Common technical issues concern the design of facilities, which optimize the potential for community-based management systems and for formal and informal private sector involvement. For instance appropriate technical standards and design for sanitary landfill need to be determined in function of local environmental and economic circumstances (Blakely, 1994).

2.5.2 Growth, Equity, Integration and Local Community Leadership
According to Tomlinson (1994), it takes strong local leadership to conjure up images of a healthy, united community, with a common vision, working together to eliminate poverty and achieve greater prosperity for all. Development and promotion of policies, which will have this kind of impact on local areas, requires considerable determination on the part of councilors and local officials.

Mbeki (1997) in his address at the launch of the Johannesburg Urban Renewal Strategy in Johannesburg City Hall said, “The city encompasses all communities which contribute to its growth and to its prosperity.... Those people who have, all their lives placed their brains and their brawn at its service, should be the
first beneficiaries of its renaissance. We are talking of the street-child who has
given it its survival instinct, the street vendor who has given it its informality,
the aged whose vitality it has tamed but not vanquished, the investor who has
given it its industry and the worker who has seen it grow. Indeed, this renewal
should mean that we all begin to own the city.......and the fruits it is going to
bear, because the contribution of all of us in its renewal, its growth, its
prosperity is.......indispensable” (p. 3).

Blakely (1994), sums that community-based strategies emphasize the
importance of working directly with low-income communities and their
organizations. Investment is all very well, but the benefits are unlikely to
accrue to the neediest unless they are active participants in new development,
with the capacity to plan, monitor and enforce wider benefits. He says that
support for institutions such as community development trusts and worker or
community controlled enterprises such as local credit unions or development
corporations is a key feature of this approach.

2.6 Chapter Summary

Involving local residents in establishing a local vision, through the integrated
development plan, will ensure that everyone brings their energy, commitment
and resources to development programmes. Important stakeholders include the
community, community-based organizations (CBOs), non-governmental
organizations (NGOs), business, parastatals, and trade unions. The magnitude
and complexity of the issues faced by the community in Kibera, and the manner
in which these issues are resolved, calls for both people and action oriented
strategies. The bottom line is that the policy issues and approaches in
implementing these should be participatory and all inclusive in nature. This
paper thus sought to address a people in action approach by collecting and
analyzing views of the communities in Kibera with the aim of providing a long-
term sustainable participation in the growth and development of Kibera.

The next chapter presents the methodology of research used in this research.
CHAPTER 3

3.0 RESEARCH METHODOLOGY

3.1 Introduction
This chapter presents the research methodology adopted in the study. The chapter specifies the methods and procedures that were employed in this research. It was used to guide the implementation of the research study. The design served to minimize the danger of collecting haphazard data, and ensured that the data collected addressed the research questions and more importantly fulfilled the information needs requirements for this research.

3.2 Research Design
This was an exploratory study. According to Babbie (1998), exploratory studies satisfy the researcher’s curiosity and desire for better understanding of his problem area, test the feasibility of undertaking a more extensive study and in development of methods to be employed in any subsequent study. Exploratory research design was appropriate for the study as the method helped in assessing the role of community structures and community support systems in implementation process of policy strategies in the betterment of their livelihoods in Kibera. An exploratory research design is a flexible and versatile study.

3.3 Population and Sample
3.3.1 Population
All the thirteen villages in Kibera, Nairobi constituted the population of this study. They formed the basis from which the sample or subjects of the study were drawn. From the sample selected, inference was made about the population. The study involved interviewing the sampled individual households within the villages and organizational/institutional leaders within the area of study. The organizations and institutions sampled included Community Based Organizations (CBOs), Non-Governmental Organizations (NGOs), Community Youth Groups and civic institutions whose operations were to provide service to
the community. The aim of this diversity was to determine the existence and level of participatory commitment and support in improving the livelihoods in the area.

3.3.2 Sample Frame, Technique and Size

3.3.2.1 Sampling Frame

Sample frame are those individuals or organizations from which one selects the actual sample for the survey. In the study, physical representation of the target population was considered and this consisted of sample units that were potential members of the sample. The sampling frame was obtained from Nairobi City Council (NCC) planning department. The research covered three villages of the total thirteen in the area. The villages selected included Lindi, Laini Saba and Kisumu Ndogo.

3.3.2.2 Sampling Technique

Non-probability sampling technique was used in this study. Three villages were selected to participate in the study. The criteria for selection included the size, location, accessibility and neighbourhood of the villages. In this, large and small villages were included in the sample. The geographical location of the villages together with infrastructural accessibility was another factor considered in the selection.

Principle of purposive sampling selection was used in the study. It is a procedure by which the elements in the population do not have any probabilities attached to their being chosen as sample subjects. This means that the findings from this study cannot be confidently generalized to the population. The target population included individual households and institutions.

3.3.2.3 Sampling Size

According to Gall, Borg, and Gall (1996), sampling is the process of selecting members of a research sample from a defined population, usually with the intent that sample accurately represents that population. Gall et al. (1996)
formulated a general rule in quantitative research, which is to use the largest sample possible. The rule of thumb for determining the number of cases needed for survey research is 100 subjects.

The subjects in this study were family units and 50 subjects were interviewed in each village. Additionally, 2 organizations/institutions were interviewed in each village. In total, 150 family units and 6 organizations/institutions were interviewed.

3.4 Data Collection Methods
The major methods used to obtain data in the study included personal interviews, semi-structured questionnaires and observation techniques. These instruments were developed and organized not only to collect data in addressing the research questions but also to obtain suggestions towards improving community participation in upgrading livelihoods in Kibera, Nairobi.

The instruments were researcher developed and administered by both the researcher and his assistants. The instruments were pilot tested and each respondent provided a common, dedicated and timely space to complete the survey. This method provided immediate feedback, allowed clarification of questions by the respondent and enhanced the quality of data obtained.

3.5 Research Procedures
According to Webster (1985), to research is to search or investigate exhaustively. It is a careful or diligent search, studious inquiry or examination, especially investigation or experimentation aimed at the discovery and interpretation of facts, revision of accepted theories or laws in light of new facts or practical application of such new or revised theories or laws. It can also be the collection of information about a particular subject.

In this study, subjects within the three villages of Kibera were purposively selected to the study sample. For those selected, the purpose of the study was explained, including the nature of the study, and the need for and use of
assignments. Participants were assured of confidentiality and given an opportunity to give both their positive and negative perspectives.

A normative interview approach was used during the study and a forty-five minute interview protocol designed to address the specific research questions. The interview questions were both open ended and closed. Open-ended questions were for general information and did not restrict the answer while closed questions asked for specific information, restricting the interviewee to factual answers. According to Peil (1992), interview based questionnaires permit comparison between samples and thus widens generalization from the data. This technique of data collection results in a higher response rate and allows for supplementary information about respondents to also be collected. The technique gives a researcher control over the interviewing situation (Nachmias & Nachmias, 1996). On the other hand this technique can be very time consuming and frustrating depending on the respondents’ willingness to participate.

The questions were then organized in sections concerning major themes, considering suitable transitions from one topic to the next. A pilot test of the protocol was then carried out to validate the contents of the questions, the flow of topics, the recording technique and the timing of the interview. Several training sessions were carried out on the research assistants to ensure that they learnt to use the protocol.

A schedule of interviews were arranged and conducted, with the interviewers maintaining control of the process as well as of the content of the interview. Writing notes was the general method used for recording the interview; verbal statements were recorded and nonverbal communication noted. Starting on the right foot where a good introduction provided by the interviewer establishing a good tone, the overall agenda for the interview explained and a time limit set controlled the interview process.
All participants were interviewed and data collected using the questionnaire designed by the researcher. Observer comments were also noted during the sessions. This data was then analysed and results interpreted and presented.

3.6 Data Analysis and Presentation

Data analysis involved reducing accumulated data to a manageable size, developing summaries, looking for patterns, and applying statistical techniques. Scaled responses on questionnaires were analyzed to derive various functions, as well as to explore relationships among variables. Descriptive statistics was employed through percentages, and presented in tables. Spreadsheet analysis software was used to analyze the scale responses through the factor analysis component. Content analysis was used to analyses the qualitative data.

Tables and figures were used to present the data. These clearly brought out the relationship between the methods used to consult the local communities and communities' response and commitment to the organization sustainability. They were also used to infer and compare the effectiveness of the various methods used by organizations and institutions to sensitize and inform the communities of their operations. This helped in the organization of the research findings and conclusions.

3.7 Chapter Summary

In this chapter, the population, sample, research design, and method of data analysis and presentation have been described. Purposive non-probability sampling technique was used in the study. Primary data was collected using semi-structured questionnaires that were administered by the researcher and his assistants. Questions focused on eliciting attitudes, knowledge, beliefs, behaviours and suggestions, in response to the specific questions.

The next chapter presents the research results and findings.
CHAPTER 4

4.0 RESULTS AND FINDINGS

4.1 Introduction
This chapter presents and explains the data rather than draw interpretations or conclusions. The findings are presented and analyzed on the basis of the research questions. The chapter is organized as follows: section 4.2 is on Respondents’ Profile; section 4.3 is on Community Participation; section 4.4 examines the Barriers to Community Participation; section 4.5 takes a look at the Long-term Coping Strategies in Upgrading Systems in Kibera; section 4.6 analyses some of the Policy Implementation Strategies in place to encourage community participation in Kibera; and section 4.7 is on Chapter Summary.

4.2 Profile of Respondents
In all, 150 individual respondents (Table 3 below) from 3 different villages (Laini Saba, Lindi and Kisumu Ndogo) participated in this study and 70% of them had responsibilities in decision making for community benefit either in the capacity of household heads, society committee members or local opinion leaders. Majority of the respondents were between the ages of 25 - 34, most of whom were primary and secondary school drop-outs.

Table 3: Profile of Community Respondents

<table>
<thead>
<tr>
<th>Age (Yrs)</th>
<th>Category</th>
<th>Frequency</th>
<th>Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>15 - 24</td>
<td>A</td>
<td>40</td>
<td>27%</td>
</tr>
<tr>
<td>25 - 34</td>
<td>B</td>
<td>61</td>
<td>40%</td>
</tr>
<tr>
<td>35 and above</td>
<td>C</td>
<td>49</td>
<td>33%</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>150</td>
<td>100%</td>
</tr>
</tbody>
</table>
4.2.1 Individual Profession
Professionally, most of the respondents run their own private businesses (shop keeping, kiosks, tailoring and furniture shops), and others held technical skills in carpentry and technical drawing. While others had no profession to count on there was one lady pharmacist (operating a chemist in the area) and a young enterprising man, who was a 2nd year law degree student at the University of Nairobi.

4.2.2 Organization
Six different organizations from the 3 villages also participated in the study. They included Ushirika Wa Usafi, Young Women Christian Association (YWCA), African Medical Research Foundation (AMREF), Kibera Church of God Compassion Child Development, Kibera Youth Development Organization (KYDO) and Mustach Youth Group (MYG).

4.3 Community Participation

4.3.1 Knowledge of Respondents
To assess their knowledge and extent of involvement in the planning, design and development of projects in Kibera, different sets of questions were asked to respondents. The judgment on the type of knowledge and extent of involvement was based on the qualitative assessment of the answers given by respondents on the areas being assessed compared to what the study considered as standard answers. Table 4 below gives details of comparative knowledge on community participation.
<table>
<thead>
<tr>
<th>No.</th>
<th>Description</th>
<th>% of Category</th>
<th>Pertinent remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Having good knowledge of the definition or goal of community participation</td>
<td>60%</td>
<td>59% 84%</td>
</tr>
<tr>
<td>2</td>
<td>Knowing the criteria for selecting community representatives</td>
<td>58%</td>
<td>64% 71%</td>
</tr>
<tr>
<td>3</td>
<td>Knowing the role of dialogue structures</td>
<td>45%</td>
<td>34% 90%</td>
</tr>
<tr>
<td>4</td>
<td>Appreciating the community neighbourhood</td>
<td>70%</td>
<td>61% 76%</td>
</tr>
</tbody>
</table>

The respondents believed that community participation in community upgrading was important and gave various reasons why this was so. In practice, committees and dialogue structures for example had been set up in all the villages to handle aspects of hygiene and sanitation in their environment and had no other role in the management process of health care.

A closer look at the process of putting in place these committees and dialogue structures where they exist, revealed with dismay that the notion of representation had been ignored, such that interest groups such as youths, women and village councils were not adequately represented. The members of these structures clearly manifested a low level of motivation and of commitment within the context of self-reliant development as their response to meetings, supervision and control of community projects and working bees remained insufficient.

4.3.2 Community Governance
Table 5 below indicates 50% of the respondent institutions had no participation in governance while 17% had a ‘wide’ participation in governance.
Table 5: Participatory Governance Ratings

<table>
<thead>
<tr>
<th>Institution Governance Rating</th>
<th>Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Frequency</td>
</tr>
<tr>
<td>Wide</td>
<td>1</td>
</tr>
<tr>
<td>Fair</td>
<td>2</td>
</tr>
<tr>
<td>None</td>
<td>3</td>
</tr>
<tr>
<td>Total Responses</td>
<td>6</td>
</tr>
</tbody>
</table>

None of the responding institutions whose headquarters were not in Kibera had any beneficiaries in their formal organizational structures although as ‘foreign’ agencies one might expect them to want to be more sensitive to empowering beneficiaries.

4.3.3 Participatory Development

In terms of measuring participation, it was found that often, participation was merely co-optation of the community “to reinforce the influence of managers” and did not involve true granting of power to the community. Further, development as a process of increasing people’s capacity to determine their future was ineffective. This meant that the community was not fully included in the process of participation. As found out, participation, or empowerment was part of the process and definition of development and hence managing participation was more than including the community in one stage of the design process or evaluation of projects in Kibera.

While most institutions said that they focused attention on the poor, most of the respondents candidly admitted that they did not work much with the poorest groups needing the most help. The “poorest of the poor” for the most part seemed to receive little attention from most responding institutions reportedly due to the difficulty in forming businesses with people who have little or no business experience.
4.4 Barriers to Community Participation
The findings on the barriers to community participation are presented below.

4.4.1 Level of Community Participation
This was achieved by identifying key determining variables and the factors hindering their attainment.

4.4.1.1 Grading Matrix
Table 6 below provided the appropriate grading matrix used to assess the level of community participation in the determining variables.

<table>
<thead>
<tr>
<th>Determining Variable</th>
<th>Nil (1)</th>
<th>Minimal (2)</th>
<th>Average (3)</th>
<th>Good (4)</th>
<th>Excellent (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Upgrading partners handle everything, the community is not involved</td>
<td>Upgrading partners handle everything in collaboration with only one community representative</td>
<td>The structures are functional, all members participate in activities under the directives of development partners</td>
<td>The community takes initiatives and ensures the control over the development partners activities</td>
<td>The community decides on the activities to be carried out and equally have control over the development partners activities</td>
</tr>
</tbody>
</table>

The grading matrix ranged from nil to excellent community participation in community upgrading systems.

4.4.1.2 Determining Variables
The findings relating to determining variables are presented in Table 7 below.
Table 7: Recapitulative table showing the main determining variables of community participation and the factors hindering its attainment

<table>
<thead>
<tr>
<th>Determining variable</th>
<th>Grading</th>
<th>Hindering factors/effects identified by respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community Organization</td>
<td>2</td>
<td>- Inadequate representation</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Parallel structures</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Increased levels of tribalism</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Lack of trust</td>
</tr>
<tr>
<td>Leadership (decision making)</td>
<td>1</td>
<td>- Insufficient involvement of community by dev. partners</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Conflict between community and development teams</td>
</tr>
<tr>
<td>Identification of needs</td>
<td>1</td>
<td>- Insufficient involvement of an ignorant community</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Diversity of needs of interest groups</td>
</tr>
<tr>
<td>Mobilization of resources</td>
<td>2</td>
<td>- No effective control mechanisms (planning &amp; budgeting)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Poor infrastructure and services</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- High levels of unemployment and poverty</td>
</tr>
<tr>
<td>Management of systems</td>
<td>1</td>
<td>- Lack of willingness of partners to share power with the de-motivated community partners</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Lack of the required skills</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Insufficient supervision</td>
</tr>
</tbody>
</table>

The results based on Table 7 above showed clearly that community participation in the upgrading projects and systems in Kibera was well below performance level three. The study revealed that the selection of community representatives tended to ignore the already existing community structures that pursued the same objectives, thus causing conflicts.

4.4.2 Other Barriers
According to the findings, crippling poverty hurt the community’s desire to participate either partially or fully in the completion of their upgrading activities. This was further worsened by the various traditional cultural practices, which deterred any progressive undertakings. Capacity of the project workers and development partners to handle adolescents and career guidance for the youth was lacking due to insufficient creative and interesting programs that attracted the youth.
The villages were characterized by overcrowding in poor housing units without adequate roads, water supply and waste disposal systems. Due to the lack of these basic services, the community had adopted a range of survival strategies. Most of these strategies had been devised in the context of what was termed ‘economy of affection’. These characteristics coupled with heterogeneity, polluted environments, high morbidity rates, low incomes and lack of recreation facilities created intense social pressure. The result was a mix of problems that included crime, hatred, lack of trust, drug addiction, alcoholism, prostitution, and high mortality rates among others.

Sanitation was grossly inadequate in the settlement. Traditional pit latrines were the most commonly used method of waste disposal as there were no water-borne sewage systems in the settlement. Other disposal methods used included drop-hole latrines that emptied into sewer lines, the river, and the bushes next to the railway line.

Drainage was poor and there was frequently no conscious provision made for it. Wastewater from households was therefore disposed of on the paths and drains outside the houses, leading to pools of dirty stagnant water if the wastewater did not find its way into the river. The area was littered with refuse and contaminated decomposing waste with the attendant risks. These not only created eyesores on the landscape, but also caused air pollution, water pollution, infectious diseases and propagation of animal pests.

Access to Kibera was through a number of informally interlinked dirt tracks. Vehicular access into the settlement’s interior was rather difficult and caused problems especially for local traders when restocking their businesses. The inadequacy of access also implied that ambulances or fire engines could not access victims in cases of emergencies. People thus ended up losing property in infernos just because they were beyond reach of emergency services.

The development of infrastructure and provision of basic services (power, transport, communication, provision of water and sanitation and safe disposal
of waste) were therefore necessary programmes for growth and upgrading in Kibera. Charcoal, kerosene and firewood were the commonly used cooking fuel. Candles, tin lamps and kerosene glass lamps (lanterns) were used for lighting. These modes of energy exposed households, especially women, to high levels of carbon monoxide and other pollutants, since the houses were very small, poorly ventilated and overcrowded, also putting the houses at risk of catching fire.

4.5 Long-term Coping Strategies in Upgrading Systems in Kibera
The objective of upgrading Kibera should be the alleviation of poverty, delivery of better shelter and related facilities, and provision of secure tenure. One respondent asserted that there was a strong nexus between the development of the informal settlement and land holding systems and to assure success of any such upgrading initiative, the land tenure system had to be rationalized.

4.5.1 Early and On-going Involvement of the Community
Individual respondents provided different suggestions on the long-term coping strategies of community participation in upgrading Kibera. These cut across all actors and were subsequently grouped, in order of frequency, into 15 different categories. Table 8 below provides the details.

<table>
<thead>
<tr>
<th>Order</th>
<th>Frequency</th>
<th>Suggestion</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>85</td>
<td>Hygiene and Sanitation Management</td>
</tr>
<tr>
<td>2</td>
<td>75</td>
<td>Providing and Improving Security in the area</td>
</tr>
<tr>
<td>3</td>
<td>73</td>
<td>Community sensitisation and communication in favour of participation</td>
</tr>
<tr>
<td>4</td>
<td>72</td>
<td>Training and motivation</td>
</tr>
<tr>
<td>5</td>
<td>69</td>
<td>Renew dialogue structures while respecting representation</td>
</tr>
<tr>
<td>6</td>
<td>68</td>
<td>Improving the infrastructure</td>
</tr>
<tr>
<td>7</td>
<td>60</td>
<td>Creation and equipping of more health and recreation centres</td>
</tr>
<tr>
<td>8</td>
<td>57</td>
<td>Ethnic groups coming together in community affairs</td>
</tr>
<tr>
<td>9</td>
<td>47</td>
<td>Youth empowerment and participation</td>
</tr>
<tr>
<td>10</td>
<td>45</td>
<td>More self help groups &amp; income generating projects</td>
</tr>
<tr>
<td>11</td>
<td>39</td>
<td>Government intervention (assistance)</td>
</tr>
<tr>
<td>12</td>
<td>30</td>
<td>Reduce congestion in the area</td>
</tr>
<tr>
<td>13</td>
<td>26</td>
<td>Cooperation from elders and chiefs</td>
</tr>
<tr>
<td>14</td>
<td>23</td>
<td>Provision of land tenure</td>
</tr>
<tr>
<td>15</td>
<td>12</td>
<td>Other</td>
</tr>
</tbody>
</table>
After a critical analysis of the conditions and the extent of environmental degradation in Kibera slums and its environs, hygiene and sanitation management topped the list of long-term suggestions (Table 8). This was closely followed by provision of security and community sensitization. There was scarcity of sanitation facilities like toilets, bathrooms and dumping sites. The residents had largely resorted to "flying toilets", where they relieved themselves in plastic bags and threw them anyhow, posing a health hazard to the inhabitants of the villages. The general filthiness of the area made the environment and life uncomfortable to the community around in general.

4.5.2 Community-wide Representation

Most institutions interviewed used more than one method for deciding where to put programs suggesting that institutional decision-making is complex and used multiple methods as demonstrated in Table 9 below.

<table>
<thead>
<tr>
<th>Deciding on a New Project</th>
<th>Distribution</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Frequency</td>
<td>Percentage (%)</td>
<td></td>
</tr>
<tr>
<td>Needs Assessment</td>
<td>4</td>
<td>25%</td>
<td></td>
</tr>
<tr>
<td>Church Request</td>
<td>3</td>
<td>19%</td>
<td></td>
</tr>
<tr>
<td>Donor Criteria</td>
<td>3</td>
<td>19%</td>
<td></td>
</tr>
<tr>
<td>Existing project Request</td>
<td>2</td>
<td>13%</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>2</td>
<td>13%</td>
<td></td>
</tr>
<tr>
<td>Group Request / Meetings</td>
<td>1</td>
<td>6%</td>
<td></td>
</tr>
<tr>
<td>Membership</td>
<td>1</td>
<td>6%</td>
<td></td>
</tr>
<tr>
<td>Total Responses</td>
<td>16</td>
<td>100%</td>
<td></td>
</tr>
</tbody>
</table>

N= 6

Four of the institutions claimed to do "needs assessment" of some sort in Kibera before starting projects. Three claimed that local churches requested them to come and work in the area.
In Table 10 below, the responses in Table 9 were further categorized into three participatory categories; wide, fair and no participation.

<table>
<thead>
<tr>
<th>Participatory Rating</th>
<th>Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Frequency</td>
</tr>
<tr>
<td>Wide</td>
<td>6</td>
</tr>
<tr>
<td>Fair</td>
<td>5</td>
</tr>
<tr>
<td>None</td>
<td>5</td>
</tr>
<tr>
<td>Total Responses</td>
<td>16</td>
</tr>
<tr>
<td>N=</td>
<td>6</td>
</tr>
</tbody>
</table>

The community in Kibera rated thirty eight percent of responses as ‘wide’ participation. The other categories, i.e. ‘fair’ and ‘none’ were each rated thirty one percent.

4.5.3 Publication and Processing of Community Issues
Use of local administration meetings to sensitize the residents on the need for proper refusal disposal and the importance of clean environment was proposed. The strategy was to liaise with other major players in the environmental issues and donors for resource, capacity building, networking and moral support. This, they suggested could be achieved through partnerships and collaboration with corporate bodies, development and non-governmental organizations who were interested in this noble course.

Sensitization of the community on the importance of non-violent practices and respect for human rights was also proposed. The respondents further suggested that there was need to create and institutionalize community development through strengthened effective leadership and increased community participation in decision making as means of enhancing harmonious living in a multi-ethnic community.
4.5.4 Availability of Facts and Information

Health and recreation centres improvement was also identified as a motivator to community participation in upgrading their livelihoods. Health was a major issue, especially with the increase of HIV/AIDS pandemic and drug abuse. Respondents agitated for behavioural change, and combating discrimination of people living with HIV/AIDS. They further suggested the provision of researched information on basic health to create awareness and promote health programs and education amongst the people living in the area. Table 11 below provides a summary of objectives made of child health and HIV/AIDS interventions.

<table>
<thead>
<tr>
<th>Child Health Objectives</th>
<th>HIV/AIDS Intervention Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Build capacity of children and their families on disease prevention and control to enable them take care of their own health and promote healthy living.</td>
<td>Provide resources and services through local church partnerships in order to improve the quality and length of life of children and care givers who are infected or affected by HIV/AIDS.</td>
</tr>
<tr>
<td>Promote survival of children through primary prevention of diseases at the family level, health education, quarterly child health screening and prompt medical care when needed.</td>
<td>Identify relevant and effective regional and local organizations with which to engage in networking for the purpose of resource mobilization, burden and information sharing.</td>
</tr>
<tr>
<td>Improve safety of children at home, school and at the project through education on accidents prevention, project environmental safety/cleanliness, training in first aid and disaster prevention.</td>
<td></td>
</tr>
</tbody>
</table>

The use of sporting activities as a channel of advocacy and campaign for behavioural change was suggested. Sporting and recreation were also necessary for the psychological and physical development of people, especially the youth. The respondents further recognized that recreation promoted good health, personal discipline, leadership and team building skills but noted that inadequate facilities in the area limited any such activities.

4.6 Policy Implementation Strategies in place to encourage Community Participation in Kibera

Whenever an area plan, a strategic plan, or any other planning is undertaken, there must be continuous and maximum participation by those who will be affected by the plan including committees of residents who live in or near the
plan area, merchants, and others who do business in the plan area, as well as members of interested groups and the general public.

4.6.1 Political and Institutional Aspects
Improved governance and management of villages to make local leaders more responsive to the issues facing the community, by instituting measures to facilitate and strengthen the organizational capacities, access to information, and social capital of the poor communities was suggested by the organizations surveyed in Kibera.

It was particularly interesting to note that most organized and well established development agencies, groups and non-governmental organizations were only concentrated in Laini Saba and Soweto villages in Kibera. Youth groups and small community based organizations and associations dominated the other villages with little or no back up support, financial or otherwise. These organizations reached the community through local and focus groups, together with holding of public meetings among other methods. Occasionally, these organizations informed the local community of their activities also through the production of leaflets, newsletters and posters.

Even though most established organizations were concentrated in both Laini Saba and Soweto, their operations and activities cut across the other villages. For instance, Kibera Child Development Centre, which is located in Laini Saba village, catered for children from all the villages in Kibera. The centre existed to develop the very needy Kibera slum children physically, socially, spiritually and economically using the available resources and manpower. The main objective of the centre was to develop the registered children into mature, self-reliant, responsible and fulfilled Christian adults who pleased God and the society they lived in.

Youth community programmes had been initiated by the youth in these villages in Kibera to empower the youth. The community-based organizations (CBOs) argued that youth empowerment was not about giving power to the youth but
rather about realizing dreams, visions, experiences, activism, motivation and knowledge and skills they already had. It was about partnership and ownership of their community activities and developments. According to these CBOs, when the youth were involved in all the processes involving them, from planning to implementing, to evaluating, they would feel strong sense of belonging, ownership that subsequently led to sustainability and attainability of the projected activities.

The CBOs further stressed that the youth were empowered when they acknowledged they had or could create free choices in life, taking action based on that decision and accepting responsibility for the action. The CBOs ensured that proper environment was put in place, i.e. strong economic and social base, political will, adequate resource allocation, supportive legal and administrative framework, a stable environment of equality, peace and democracy. They also ensured ready access to appropriate information and skills with a positive value system. Through knowledge acquisition, the youths were facilitated in identifying relevant fields of importance.

Advocating and lobbying for youth inclusion in decision-making organs and recognition as important stakeholders in the development process was another objective of the community based organizations. Through practical project activities, they also offered a functional model of self-help approaches to community based integrated resource management in Kibera.

Reforming regulatory and policy regimes for housing, land and infrastructure markets was a key aspect in place in Kibera. This was geared towards removing obstacles and disincentives to access for the poor. Pro-poor sectoral frameworks were suggested to remove inappropriate standards of provision that raised costs, encouraged entry of new technologies and small-scale and other competing suppliers in Kibera. The respondents thought that this would make subsidy policies more effective and better targeted, establish more cost recovery systems, and facilitate active partnerships among private investors
and utilities, community groups and local government to seek practical solutions that met the demands of Kibera community.

4.6.2 Social Aspects
The residents of Kibera believed that they had the capacity to improve their socio-economic status. They implied that all what they needed was guidance and assistance to harness this potential. Thus, in partnerships and collaborations, development partners needed to provide assistance to the residents in the form of training and upgrading of human skills, credit, technical advice or links to private and public sector agencies.

According to the residents, the partners and collaborators should not have any preconceived packages but assist the residents to use their potential most effectively, identify and prioritize what could be done to reduce poverty, and then facilitate the access and flow of resources to implement identified activities.

4.6.3. Financial and Economic Aspects
Alleviation of poverty amid the poor population in the Kibera slums was a course for concern. Some organizations had established in the area to alleviate poverty through the promotion of income generating activities financed by micro-credit schemes.

Engaging private financial institutions to develop institution-based strategies to extend access to credit for investing in services to the poor was also a concern; including both financing for developers and infrastructure providers, and micro-credit for households. In most cases, the projects were divided in 2 phases; phase I was a training programme, in which the beneficiaries were to receive necessary vocational skills and phase II was a micro-credit section which involved the distribution of credit to the beneficiaries.

Throughout the training portion, the organizations provided seminars and training sessions on health education, sewing skills and financial management.
The duration of each training course was usually three months. The micro-credit section incorporated an introduction to the micro-credit system, business planning, systems of micro-credit and monitoring.

Adding to the training programme, the organizations also carried out workshops to equip the beneficiaries with basic financial management skills in light of the fact that there was little opportunity of employment available to them in the slum area. Trainees who had passed the final examination were granted micro-credit to begin their own businesses. The credit usually consisted of sewing machines, clothing materials and cash, credit of which had to be refunded with interest within the agreed time periods.

Direct consequences of investing in infrastructure was highlighted, where the generation of jobs, incomes and business opportunities could be targeted in favour of emerging enterprises and labour-intensive methods in Kibera.

4.6.4 Technical Aspects

A number of organizations interviewed had mission statements and set goals. They added that their goals were clear to all parties concerned and represented the perspectives of the community in Kibera. Others were youth groups and community based organizations, with no mission statements and clear set goals. Their formation was founded on enabling the youths in Kibera and its environs to maximize their potential as well as play a more pivotal and proactive role in their personal growth and societal development. These activities included garbage collection and community cleanliness.
4.6.4.1 Key Strategic Objectives of Organizations operating in Kibera

Key strategic objectives in order of priority of sampled organizations operating in Kibera, Nairobi are indicated in the table below.

<table>
<thead>
<tr>
<th>Order</th>
<th>Objective</th>
<th>Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>HIV/AIDS Awareness</td>
<td>- Public awareness through social events e.g. sports</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Seminars</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Provision of leaflets and flyers</td>
</tr>
<tr>
<td>2</td>
<td>Sanitation</td>
<td>- Organize regular community clean-ups</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Garbage collection</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Erection of permanent toilets</td>
</tr>
<tr>
<td>3</td>
<td>Health Development</td>
<td>- Provide initial screening</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Facilitate referrals where necessary</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Provide treatment</td>
</tr>
<tr>
<td>4</td>
<td>Water Supply</td>
<td>- Position water tanks at various central points within the community</td>
</tr>
<tr>
<td>5</td>
<td>Formal &amp; Informal Education</td>
<td>- Skills training</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Pay school fees</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Social Education</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- School feeding programmes</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Provide uniforms &amp; learning materials</td>
</tr>
<tr>
<td>6</td>
<td>Youth Empowerment</td>
<td>- Initiate income generation activities that shall enable youths to access</td>
</tr>
<tr>
<td></td>
<td></td>
<td>cash for capital investments and subsistence</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Start a magazine/newsletter that shall be used by youths to express</td>
</tr>
<tr>
<td></td>
<td></td>
<td>themselves</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Facilitate knowledge acquisition</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Lobby for youth inclusion in decision-making organs</td>
</tr>
</tbody>
</table>

In Table 12 above, most of the objectives and strategies had not changed in the last 5 years. According to the organizations, these strategies had been determined in consultations with the respective target groups, with their strategic plans lasting not more than 3 years.
4.6.4.2 Projects Planning Cycle

After having determined appropriate strategies in consultation with the respective target groups, the organizations developed structures to guide their projects planning. The structures of the organizations are indicated in figure 4 below.

![Diagram of Planning Cycle]

Figure 4: Planning Cycle

According to Figure 4, most of the established organizations had dialogue structures, which determined the needs and priorities of the parties concerned. It was through these structures where they established meaningful intended outcomes before determining what steps were needed to accomplish them. In the end these were reviewed to confirm occurrence.

4.6.5 Growth, Equity, Integration and Community Leadership

To build capacity and resources in order to achieve equitable community participation in planning and project development, strategies and indicative actions had been designed by most organizations. Table 13 below provides a summary of these strategies and indicative actions.
Table 13: Capacity Building Blocks

<table>
<thead>
<tr>
<th>Strategies</th>
<th>Indicative Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>□ Utilize information and communication technologies to facilitate community development through networking, information exchange and access to services</td>
<td>➢ Establish a Kibera Community Development Forum to facilitate voluntary and community participation in local development</td>
</tr>
<tr>
<td>□ Communicate new methodologies and strategic approaches for community development</td>
<td>➢ Analyse limiting factors and barriers to participation in voluntary and community activities</td>
</tr>
<tr>
<td>□ Create opportunities for the development of revenue generating community enterprises</td>
<td>➢ Assist demonstration projects which provide for alternative means of local service provision</td>
</tr>
<tr>
<td>□ Enhance networking, co-operation and exchange of experience</td>
<td>➢ Develop a resource facility to allow access to information and to facilitate the exchange and transfer of development approaches, information, processes and solutions between voluntary and community organizations within the settlement</td>
</tr>
<tr>
<td>□ Reinforce community structures to offset loss of social cohesion and adverse impacts of economic growth</td>
<td>➢ Adapt training initiatives to facilitate youth participation</td>
</tr>
<tr>
<td>□ Encourage the participation of youth in local and community development organizations</td>
<td></td>
</tr>
</tbody>
</table>

According to Table 13, the development and promotion of these strategies and their success indicators were determined in consultation with the local community leadership. The capacity building blocks emphasized on working directly with the low-income groups and their Community Based Organizations.
4.7 Chapter Summary

The study found out that the main actors did not clearly know the meaning and goal of community participation in upgrading community livelihoods due to a number of factors. The community was characterized by overcrowding in poor housing units without adequate roads, water supply and waste disposal systems. Due to the lack of these basic services, the community had adopted a range of survival strategies. Most of these strategies had been devised in the context of what had been termed 'economy of affection'. These characteristics, coupled with heterogeneity, polluted environments, high morbidity rates, low incomes and lack of recreation facilities created intense social pressure. These social pressures preoccupied the commitment and resources of the residents at the expense of collective community participation in upgrading their systems.

A good number of long-term coping strategies with corresponding policy measures had been stressed upon by both individual and corporate respondents with the aim of improving their community participation in upgrading Kibera. Top on their agenda was to build capacity and resources in order to achieve community participation in planning and project development within the settlement.

The next chapter will focus on discussions, conclusions drawn from the findings and recommendations thereof.
CHAPTER 5

5.0 DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction
This chapter focuses on the discussions and interpretation of the major findings and results, comparing them with the theoretical background presented in the literature review. Section 5.2 begins by providing a summary of the purpose of the study and research questions, the methodology used and the major findings; section 5.3 provides a discussion of the major findings; section 5.4 is on conclusions drawn from the findings; and section 5.5 gives recommendations and suggestions for future research work based on the findings and presented conclusions drawn from the research findings.

5.2 Summary
The general purpose of this study was to establish the level of community participation in the planning and development of upgrading systems in Kibera, Nairobi by assessing factors that influenced their involvement, commitment and participation. The study was guided by the following research questions:

1. To what extent were communities involved in the planning, design and implementation of upgrading projects in Kibera?
2. What were the key barriers/hindrances to the community participation in Kibera?
3. What were the long-term coping strategies of communities in upgrading systems in Kibera?
4. What policy implementation strategies should be put in place in Kibera to encourage community participation in the planning and development of the area?

An exploratory research design was considered appropriate for the study in Kibera, Nairobi. In the study, physical representation of the target population was considered and this consisted of individual households and institutions that
were potential members of the sample. The sampling frame was obtained from Nairobi City Council (NCC) Planning department and a non-probability sampling technique was used in this study, where three villages were selected to participate in the study. The principle of purposive sampling selection was used in the study. It is a procedure by which the elements in the population do not have any probabilities attached to their being chosen as sample subjects. The research covered three villages of the total thirteen in the area and the villages selected included Lindi, Laini Saba and Kisumu Ndogo. In total, 150 family units and 6 institutions were interviewed. The major methods used to obtain data in the study included personal interviews, semi-structured questionnaires and observation techniques.

The findings revealed that there was a positive attitude of the people of Kibera towards community participation but without a clear knowledge and practicality to forge forward, little could be achieved in the upgrading process. Community participation in Kibera was not oriented towards community empowerment and the research findings identified a number of barriers, which can be grouped into personal, service, community and policy barriers. According to the findings, crippling poverty hurt the community's desire to participate either partially or fully in the implementation and completion of their upgrading systems. The main long-term coping strategy was to liaise with other donors for resource, capacity building, networking and moral support. This could be achieved through partnerships and collaboration with corporate bodies, development and non-governmental organizations who were interested in this noble course. Building capacity and recourses base was found to be the key policy implementation strategy in encouraging community participation in the planning and development of Kibera. A participatory plan-making process was necessary, not only to be accountable and open with as wide a range of consultations but also to be a judicious mix of top-down and bottom-up approaches.
5.3 Discussions

5.3.1 Community Participation

One can define community participation as a social process towards the development of self-reliance. This translates the endogenous capacity of the community to influence the decisions taken on its behalf, a true transfer of decision making to the people in the community. The study has revealed that the main actors still did not clearly know the meaning and goal of community participation in upgrading systems in Kibera.

The fact that majority of respondents thought community participation was important translates into a positive attitude. Unfortunately without a good understanding of community participation, this positive attitude does not always translate into a positive outcome in practice. Lack of required skills by the residents to manage their own activities and systems remains a major issue in community participation. Further, the suggestions made by respondents on how to improve community participation in community upgrading were limited in scope as a consequence of their narrow understanding of the subject.

Crippling poverty continued to hurt the community's desire to participate either partially or fully in the completion of their upgrading activities. Additionally, inadequate representations into key community development agendas remained evident in Kibera, indicating a lack of informed and organized participation, either directly or through legitimate intermediate institutions or representatives. The plight of women and the youth were ignored, allaying earlier fears that the views of minorities were not taken into account and that the voices of the most vulnerable in the society were still not heard in decision-making.

While participation has long been part of the tradition of planning, we continuously need to find ways to actively engage residents in decision-making, and part of this process is helping residents understand the role they play in deciding their own futures. During the survey, many respondents could not clearly point out their understanding of their roles in this process. Active
participation remains a critical issue in the planning and development activities in Kibera. This requires a shift from what others have described as a ‘vending machine’ to a ‘barn raising’ concept of governance. In other words the residents come to understand they have a contribution to make, and therefore become full participants in the process, rather than waiting to see what programs and services they will receive for their taxes.

Achieving this is no mean task. The problems facing the residents in Kibera were complex and without easy solutions. It may not be apparent how one individual can actually make a difference. At the same time, no agency should retain sole responsibility for dealing with most problems, no matter how complex. It is not likely that the government will actually have enough resources available to tackle some problems without the help from other organizations, CBOs and individuals. Partnerships and collaborations, by relying on the expertise and contributions of a wide array of organizations, agencies and individuals, expanding local residents know-how, making more efficient and effective use of scarce resources, has a greater potential for success and change in upgrading systems.

While other avenues and opportunities for community participation remain unexplored and even then un-thought of by the main stakeholders on Participatory Development, technical material and financial support to facilitate implementation of community plans should be a pre-requisite for the process of community participation to effectively take root in Kibera.

5.3.2 Barriers to Community Participation
The people in the survey were neither passive nor defeatist about the barriers to community participation they faced. All had considerable experience at circumventing obstacles and their stories and suggestions offered much to those seeking to be more active in the community. Insecure land tenure and poor infrastructure and services remain the primary constraint in improving conditions in Kibera. The community was further dogged with increased levels
of tribalism, diversity of needs of varying interest groups and lack of trust among the residents.

It is important to note that there were carefully constructed participation programs to encourage an open exchange of information and ideas among all the parties concerned. However, there was still little effort to implement these due to the divergent personal, service, community and policy barriers that existed. This requires that the planners consider an array of opinions, especially those of underserved or underrepresented minority. Together the participants shall establish a collective vision for the future, and share responsibility for problems as well as their solutions.

Community barriers remain a critical issue in community participation. Parallel structures existed in Kibera and increased levels of tribalism, signified diversity of cultures and opinions. Of course, each human being is unique and our basic differences stem from our perceptions of one another, influenced by our cultural backgrounds. The participants did not recognize that differences are not deficits to be changed and corrected, but gifts to be cherished and enjoyed. By not valuing these differences, the residents did not appreciate their own diversity and biases.

Effective organizational structures and critical decision-making capabilities were lacking within the community. This means that the absence of information; technical expertise and mystification of plan documents remains an issue.

There is increased tension between the government trying to ‘promote’ participation to achieve centrally desired objectives and the ‘hitherto excluded groups’ in the community, who, in the process of participation are trying to increase control over resources. This makes the delivery of basic services difficult. These difficulties in the perceptions, values and attitudes of various stakeholders remain major matters in community participation.
Adequate strategies to deal with conflicting interests and complexities of community empowerment process were lacking. In most cases a few leaders and powerful vested interests dominate the local communities. This usually results in capturing development resources and development decisions by elites for their own benefits. This still happens because elites have advantageous ties with national elites; because they have access to and information about resource allocation procedures and can even use threats and force against others, particularly the disadvantaged.

5.3.3 Long-term Coping Strategies
The findings revealed that there were little and planned coordinated coping strategies. These findings confirmed that the environment, which is commonly known to facilitate opportunities for community participation, dialogue and interaction was lacking. However, it was encouraging that the youth in Kibera embraced recreation as a channel of advocacy and campaign for behavioural change. Recreation promoted good health, personal discipline, leadership and team building skills but inadequate facilities in the area limited any such activities, and hence not sustainable.

The shortages skills are certainly one obstacle that impeded the community-wide participation and representation in the economic development and upgrading systems in Kibera, confirming earlier literature. This is usually a major issue in community participation. The government can make a significant contribution by ensuring that appropriate training is available to the impoverished community. As an alternative, the government can require that all companies contracted in the area and its environs provide a minimum level of training to their employees.

In conformity with past findings, inadequacy of facts and information on and to the communities in Kibera leads to inaccurate facts of surrounding issues in Kibera, i.e. the purpose, timing and need/benefits for projects. Facilitation of the establishment of dedicated local training centres in the area by working with residents, local businesses, ministry of labour and other agencies is thus
important. Apart from training, a number of other initiatives can be supported to increase the community's labour market participation and benefits. For example, support services can be provided to the unemployed, such as career information, job placement and follow-up.

5.3.4 Policy Implementation Strategies
The respondents provided very good suggestions and strategies in enhancing community participation in upgrading the livelihoods in Kibera. The study revealed that there were a lot of duplicated efforts and parallel structures from the residents and development partners, which helped confirm earlier findings of lack of community partnerships, catalysts and networks. Duplication of effort remains a key issue in development literature. Duplication leads to inefficient allocation of the available mobilized resources within the community. As earlier discussed, poor infrastructure, lack of trust and diversity of needs of various interest groups played a key role in creating this mismatch.

Congestion and overcrowding in the settlement meant that the available resources and services are well overstretched and with reduced capacity, will only be counterproductive with time. A lot of concerted effort and intervention from the planners and the government is required to build capacity and assist in decongesting the settlement and improve on the community's infrastructure. Proactive settlement planning and promotion of land development can also assist in re-integrating the community.

Achieving equitable service access in the face of poverty and informal residential growth remains a major social issue. The lack of this equitability in the study confirms earlier findings on the conditions of community involvement in the management of their social conditions.

Community's goals and priorities regarding development, environmental protection and service provision are not always clearly articulated. This means that there are no clear jurisdictions and roles definition in the community to
enable efficient division of tasks and ensure the political sustainability of community systems.

5.4 Conclusions

5.4.1 Community Participation
The results of this study have enabled the researcher to understand that the knowledge the main actors have on community participation is inadequate, though their attitude remains positive towards community participation. The present level of knowledge, lack of capacity and required skills to manage the upgrading systems limit what they practice in the settlement. The acquisition of the right knowledge and skills alone is not enough because a good level of motivation is necessary to keep the residents of Kibera willing to involve themselves in participating in community upgrading activities. Therefore, the participatory plan-making process should not only be accountable and open with as wide a range of consultations but it should also be a judicious mix of top-down and bottom-up approaches.

5.4.2 Barriers to Community Participation
It is known generally that genuine participation will lead to both capacity building and empowerment of those hitherto excluded from decision-making. Kibera has a long history of popular movements interacting with the government efforts to institutionalize them through changing combinations of promotion, bargaining, co-option and conflict. Adopting a participatory approach to planning does pose certain risks and constraints, which require adequate preparation and building of mechanisms to deal with these risks. The community consists of diverse groups representing various classes, caste, gender, religion and a host of other interest groups. Adequate attention needs to be paid to their heterogeneity and questions such as who participates, in what areas of decision making and to what extent become important.

5.4.3 Long-term Coping Strategies
Capacity building is required at different levels, right from the plan formulation stages to the plan implementation stages, with the government performing a
facilitating role. An all-inclusive processing approach is required with a shift from an ad hoc planning to policy and strategy planning. Capacity building is required not only to create resources but also to monitor and maintain these resources. The skills and subject areas in which capacity building is required has to be determined locally; however, certain broad areas have to be identified by the government.

5.4.4 Policy Implementation Strategies
Like every institutionalized action, there is a possibility that participatory process could turn into distortions of popular strivings. In attempting to bridge the micro-macro levels of planning and development, a right balance between public participation and ensuring the process is efficient and effective, (especially as public involvement can be very time consuming), needs to be established. Developing partnerships and working with elected representatives of the government officials, civic society groups and business communities is important. Effective, accountable and transparent methods of working should also be established, with participatory planning and decision-making tools formulated.

5.5 Recommendations
5.5.1 Recommendations for Improvement
Given the findings of this study, the discussions advanced and conclusions drawn, the following practical recommendations are provided to further improve community participation in upgrading systems in Kibera.

5.5.1.1 Community Participation
Community Participation in Kibera should permeate every level of decision making, either indirectly or directly. This implies transparency through: dissemination of relevant data/information; creation and ‘operationalization’ of channels for providing clarifications; bringing in place, publicizing and facilitating forums/mechanisms for obtaining feedback; ensuring mechanisms for modifying/adjusting the plan and its transparency. In dealing with community participation in Kibera, three levels of intensity of participation
should be distinguished. These include, Information Sharing, Consultation and Decision-Making.

5.5.1.2 Barriers to Community Participation
The community did not embrace trust within themselves, which encouraged a number of community participation barriers in Kibera. However, with trust within reach the participants will increase effectiveness by sharing their perceptions, insights and knowledge through synergy. Shared values and norms can reduce or keep low the level of community violence and crime. In addition, inter-family social capital will provide support networks to family members overwhelmed by such stressors as poverty and unemployment.

5.5.1.3 Long-term Coping Strategies
The recommendation is to involve the community through dialogue structures (representative democracy) wherein community representatives are incorporated into management structures to constitute an interface of dialogue between the community and the development partners. Stakeholders should conduct regular research on and follow-up assessments of the knowledge, attitude and practice of the main actors in community assessment and empowerment in their upgrading systems.

5.5.1.4 Policy Implementation Strategies
Community-based strategies and policies should emphasize the importance of working directly with the community residents and their organizations. A participatory planning and implementation approach should share a number of these characteristics: they should be problem-driven; they should offer a ranked order of priority; they should strive for a process, which is transparent and understandable to the residents of the community to build trust and commitment from the participation of the community; they should stress progressive documentation of progress and results as a means with which to promote learning and encourage follow-up; they should focus on implementation.
5.5.2 Recommendations for Further Studies

The present study investigated the levels and nature of community participation in upgrading systems in Kibera, Nairobi. However, with the close of this study, many questions for further research seem possible. Therefore, further studies are recommended as follows.

1. Most of the barriers the community faced are environmental and outside the person. Aspects of service, community and political culture in Kibera act to disable people in the community by frustrating their efforts to participate fully in the life of their community. Further research on environmental sustainability could be explored.

2. The major responsibility for removing barriers and promoting community participation rested with the community itself. At the same time, the number of citizens willing and able to assume leadership in political and civic life in Kibera was declining. An in-depth research is recommended to establish the causes of this decline.

3. This study was conducted on a relatively small number of subjects. The research contains direct implications only to this target population. Further research using a large population could be explored. Additionally, research involving different target populations (other villages) in Kibera could be undertaken.
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APPENDIX I: INDIVIDUAL QUESTIONNAIRE

No.

This questionnaire has been prepared in relation to the study on Community Participation in Planning and Development - coping strategies in Kibera, Nairobi, Kenya.

Part A: Respondent’s Profile

1) Name of respondent

2) Age of respondent

3) Marital status

4) What is your gender? Male ☐ Female ☐

5) Education background

6) Profession background

7) Local residence (village)

8) Are you living in; a) Own hse b) Rented hse c) Other

9) How long have you lived in your local area? (   ) years
## Part B: Community Participation

<table>
<thead>
<tr>
<th>Please tick the most appropriate response rating</th>
<th>1</th>
<th>2</th>
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<tr>
<td>What is your knowledge of community participation?</td>
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<td>How well do you understand your role in the community?</td>
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<td>How active are you in any community events?</td>
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<td>Do you appreciate your community neighbourhood?</td>
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<td>Do you feel valued by your community?</td>
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<td>Are you a leader in any community association?</td>
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<td>Do you understand the criteria for selecting your community leaders?</td>
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<td>Do you get help from friends when necessary?</td>
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<td>In making life decision, do you know where to find help in the community?</td>
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<td>Would you accept a stranger in your neighbourhood?</td>
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<td>Do you feel free to speak out in your community?</td>
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<td>Do you enjoy living among people of different life styles?</td>
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<td>Does multiculturalism makes life in your area better?</td>
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<tr>
<td>Do you get help from the Organizations in the Community?</td>
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</table>
Part C: What are the key Barriers to your Community Participation in Kibera?
Part D: What Long-term coping strategy suggestions do you have to improve community participation in your area?

Part E: What Policy Implementation Strategies should be in place to encourage your Community Participation in the Planning and Development in your?
APPENDIX II: ORGANIZATION QUESTIONNAIRE

Part A: Organization / Institution Profile

1) Name of Organization ............................................................................................................

2) Year Organization was started................................................................................................

3) What triggered the initiative? ....................................................................................................

4) Headquarters of Organization ................................................................................................

5) a) Please state three key strategic objectives of the organization. For each objective indicate briefly the strategy chosen to achieve the objective (strategic objectives are specific actions the organization will take to achieve its goals).

   
<table>
<thead>
<tr>
<th>No.</th>
<th>Objective</th>
<th>Strategy</th>
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   b) Have the strategic objectives changed in the last five years?
      Yes ☐   No ☐

   c) How are the strategies determined?
      .................................................................

6) a) Does your organization have a strategic plan? Yes ☐ No ☐

   b) If yes, indicate the period covered by the current strategic plan ........
### Part B: Community Participation

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<tr>
<th>Please tick the most appropriate response rating</th>
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<tr>
<td>What is your knowledge of community participation?</td>
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<td>How well do you understand your role in the community?</td>
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<td>How active are you in any community events?</td>
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<td>Do you appreciate your community neighbourhood?</td>
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<td>Do you feel valued by your community?</td>
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<td>How many local employees do you have in your organization?</td>
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<td>How many community projects have you completed in the last 5 Yrs?</td>
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<td>How many Community projects are you currently implementing?</td>
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<td>Does your mission reflect the interest of the community?</td>
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<td>Do you consult the community in your Projects planning process?</td>
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<td>What role does community play in the implementation Stages of projects?</td>
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<tr>
<td>What role does community play in the evaluation stages of projects?</td>
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<td>Do you receive feedback from the community on your activities?</td>
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<tr>
<td>Do you value the Community’s Participation in your activities?</td>
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</tbody>
</table>
Part C: What are the key Barriers to Community Participation in Kibera?
Part D: What Long-term coping strategy suggestions do you have to improve community participation in the area?

Part E: What Policy Implementation Strategies do you have/should be in place to encourage Community Participation in the Planning and Development in Kibera?
APPENDIX III: OBSERVATION GUIDE

"Seeing and "Listening are key to observation. Observation provides the opportunity to document activities, behaviour and physical aspects without having to depend upon people’s willingness and ability to respond to questions.

The following Components, adapted from Cloutier et al. (1987), were observed:

1. Characteristics of Participants (individually and as a group)
   a. Gender, age, profession/vocation, dress, appearance and ethnicity
   b. Attitude toward subject, toward others, and about self
   c. Skills and Knowledge levels
   d. Statements about commitments, values and changes to be made

2. Interactions
   a. Level of Participation and interest
   b. Levels of support and cooperation

3. Nonverbal Behaviour
   a. Facial expression, gestures and postures
   b. Interest and commitment - initial impacts

4. Projects leadership
   a. Clarity of communication
   b. Group leadership skills, encourage full participation
   c. Awareness of community climate
   d. Flexibility, Adaptability & Sequence of Activities

5. Physical Surroundings
   a. The room - space, comfort and suitability
   b. Amenities & Seating arrangements

6. Products of a Project
   a. Demonstrations, facility and plans
   b. Brochures, manuals and newsletters
APPENDIX IV: RESEARCH BUDGET AND IMPLEMENTATION SCHEDULE

Research Budget

<table>
<thead>
<tr>
<th>Cost Items</th>
<th>Figures in £</th>
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<tbody>
<tr>
<td><strong>Proposal Development</strong></td>
<td></td>
</tr>
<tr>
<td>1. Personnel cost (Researcher)</td>
<td>500</td>
</tr>
<tr>
<td>2. Report production and printing</td>
<td>50</td>
</tr>
<tr>
<td>3. Communication</td>
<td>50</td>
</tr>
<tr>
<td><strong>Data Collection and Analysis</strong></td>
<td></td>
</tr>
<tr>
<td>1. Personnel cost (Researcher)</td>
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</tr>
<tr>
<td>2. Research Assistants fee</td>
<td>200</td>
</tr>
<tr>
<td>3. Travel and Subsistence</td>
<td>100</td>
</tr>
<tr>
<td>4. Communication and consumables</td>
<td>50</td>
</tr>
<tr>
<td><strong>Report Production</strong></td>
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</tr>
<tr>
<td>1. Personnel cost (Researcher)</td>
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</tr>
<tr>
<td>2. Printing and photocopying</td>
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</tr>
<tr>
<td>3. Report binding</td>
<td>50</td>
</tr>
<tr>
<td><strong>Budget Total (Stg£)</strong></td>
<td>2,600</td>
</tr>
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</table>

Implementation Schedule

<table>
<thead>
<tr>
<th>No.</th>
<th>Activity</th>
<th>Time Frame</th>
<th>Duration</th>
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</thead>
<tbody>
<tr>
<td>1</td>
<td>Proposal Development</td>
<td>15th Jun 03</td>
<td>17th Feb 04</td>
</tr>
<tr>
<td>2</td>
<td>Data Collection and Analysis</td>
<td>18th Feb 04</td>
<td>30th Jul 04</td>
</tr>
<tr>
<td>3</td>
<td>Report Writing and Presentation</td>
<td>5th Aug 04</td>
<td>20th Oct 04</td>
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<tr>
<td></td>
<td><strong>Total Days</strong></td>
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