

**IMPLICATIONS OF COMMUNITY PARTICIPATION IN THE NATIONAL
YOUTH SERVICE URBAN INFORMAL UPGRADING INITIATIVE IN
SOWETO EAST, KIBERA-NAIROBI COUNTY**

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DECLARATION

This project is my original work and has not been presented for award of a degree in any other University or institution of higher learning for examination.

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DEDICATION

This research project is dedicated to my dear late father, whose love and sacrifice have been the quiet strength behind every step of this journey. He paid the entire fee for my Masters without hesitation, with a heart full of hope and pride in my dreams. Throughout this long path, he was patient beyond words, never once rushing me, always believing that I would reach the finish line in my own time. Though he left this world seven months before I could hold this achievement, his spirit has carried me through the hardest moments. This accomplishment belongs to him as much as it does to me. Dad, your faith in me was a light in the darkest times, and I carry your love with me forever. This is for you thank you for everything, and may your soul rest in peace

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LIST OF ACRONYMS AND ABBREVIATIONS

NYS	National Youth Service
MDG	Millennium Development Goals
SDG	Sustainable Development Goals
CAHF	Centre for Affordable Housing Finance in Africa
CBD	Central Business District
CBOs	Community Based Organizations
AFD	French Agency for Development.
KISIP	Kenya Informal Settlement Improvement Project
PDP	Participatory Development Programme
ISDF	Informal Settlements Development Facility
NGO	Non-Governmental Organization
SIDA	Swedish International Development Agency
SPSS	Statistical package for Social Science
KII	Key informant Interview

ABSTRACT

Urban settlements are particularly critical due to large rural-urban migration in search of better opportunities against limited affordable housing facilities. This has resulted in sprawling of informal settlements for low income urban populations. As an intervention measure governments and development partners such as the UN habitat have initiated the upgrading of informal settlements through improvements in service delivery, affordable housing and employment policies. Kibera, one of the largest informal settlements in Kenya, has been a target for the upgrading initiatives. However, the initiatives sometimes fundamentally disrupt everyday lives of the populations dwelling in the informal settlements. This study sought to investigate the contribution (or lack thereof) of community participation to upgrading of informal settlements initiatives for affordable housing, relevant infrastructural facilitates, social amenities and secure land tenure in Soweto East Village, Kibera. The focus is on upgrading by the National Youth Service (NYS) upgrading initiative, under the Ministry of Devolution, and Planning. The study was guided by three objectives namely, to analyse the implication of informal settlements on living conditions of residents in Soweto East Village Kibera, to explore how implementation strategies of the National Youth Service (NYS) Upgrading Initiative integrated community participation in Soweto East Village Kibera and To assess the perceptions of Soweto East village residents on participation in the National Youth Service (NYS) Upgrading Initiative. The underpinning theory was participatory approach to development initiatives. This study applied both qualitative and quantitative approaches. Quantitative approach was applied in gathering and analyzing numerical data by the use of statistical techniques and presented them in the measurable units. Quantitative information was complemented by non-numerical information gathered through key informant interviews, Focused Group Discussions and Observations to understand the complex issues relating the NYS upgrading project in Soweto East village. The study used both, probability and Purposive sampling. Data collected through observations and interviews from key informants were analyzed thematically and presented in narrative form analysed using Statistical Package for the Social Sciences (SPSS) for quantitative data and thematically for qualitative data. Findings were presented in themes, graphs, tables and pie charts indicating percentages and frequencies. Findings from objective one revealed squalid living conditions of residents in Soweto East Village Kibera, characterised by poor housing, water inaccessibility, poor sanitation system, inadequate access to electricity, poor roads and lack of health and educational facilities. From objective two, it emerged that the project brought some benefits to the people including infrastructure, improved sanitation, job opportunities, and security. The initiative also involved the community in the undertaking of these activities. However, according findings of objective three, the study revealed that the initiative did not include peoples' perspectives from its inception. This had implications on prioritization, implementation strategies, environmental sustainability, the question of land tenure, and dislocations of residents and their businesses in Soweto East village in Kibera. The study recommends that government should strive to create job opportunities to raise income level as a lasting strategy in dealing with slums; strive towards affordable provision housing programmes and that slum upgrading initiatives should involve beneficiaries throughout its life cycle.

CHAPTER ONE: INTRODUCTION

1.1 Background of the study

The 21st century has experienced rapid urbanization, predominantly in developing nations. Projections indicate that by 2045 the world urban population will increase 1.2 times to 6 billion (Msimang, 2017; Todes, 2011). In Africa, for example, the World Bank (2015) projects that, cities are expanding rapidly such that by 2050, the continent's urban population is projected to reach 1.2 billion with an urbanization rate of 58 percent. Poston and Bouvier, (2010: 307–311), define urbanisation as the increasing size of persons residing in urban settlements. According to Haase, et al., (2018) urbanisation encompasses movement to and concentration of settlement in urban set up, way of life, certain economic activities, built environment; and social and technological life. Weeks (2000: 34) describe urban areas as settlements that are ‘characterised by density, social and economic organisation and the transformation of the natural environment into built environment’. (See also Tacoli et al., 2015).

Whereas urbanization in developed regions has often been accompanied by industrialization and economic progress, in countries of the global south, Africa and Latin America, the phenomenon has been marked by widespread rural-to-urban migration and substantial natural population growth (Akirso, 2021). The resulting issue is the availability of built environment adequate to absorb the expanding population in urban locations (Angel, 2023). This exposes individuals to poor human conditions characterized by complexities of despair and deprivation, which are a threat to human wellbeing (Kuddus, et al 2020). The UN-HABITA (2017) notes that informal settlements form 90% of urban space in low income countries characterised by inadequate housing. The UN-Habitat (2015) outlines basic features of informal settlement namely, a group of individuals living under one roof in an urban area; limited access to clean water and sanitation; security of tenure; temporary buildings, and crowding. The settlements are constructed on land without legal ownership claims, often devoid of urban planning or adherence to zoning regulations and mostly self-made. Building materials include disposed wood products, iron-sheet, plastics mud and

bricks (Thrift & Kitchin, 2009; Kumari, 2022). In these settlements, roads are poor, clean water is lacking, waste disposal system is lacking, thereby exposing residents to diseases (Alene, 2022; Nuisl & Heinrichs, 2013).

It is estimated that by 2025, approximately 1.4 billion people globally will reside in slums (Todes, 2011). In Africa, approximately 62% of the urban population live in informal settlements. Like many other countries, Kenya has experienced a rapid surge in urban population, leading to substandard, overcrowded housing with inadequate services. According to Habitat for Humanity, (2022) Kenya has an annual housing of 80% deficit and only able to supply 50,000 units each year of which only 2% target low-income families. Habitat for Humanity (2022) indicates that 6.4 million of Kenya's urban inhabitants reside in slums. According to The Centre for Affordable Housing Finance in Africa (CAHF, 2021) 28% of Kenyan national population reside in urban settlements and 61% of this population live in slums. Ten 10 million of Kenyan and 36% Nairobi populations reside in informal settlements. Nairobi, which is Kenya's capital city, industrial, commercial and administrative Centre, is estimated to have more than 40 areas defined as slums with approximately 60 percent of the population in Nairobi living in those areas (De Vita et al.2019). These include Kibra, Kawangware, Mathere, Kariobangi, Mukuru slums. Many families living in these settlements are exposed to infections including malaria, typhoid, pneumonia, and cholera (Habitat for Humanity, 2022).

Regions across the world which have experienced adverse living conditions associated with rapid urbanization have initiated upgrading of informal settlements as part of intervention measure. Latin America, for instance, adopted collective regional efforts toward addressing housing challenges associated with rapid urbanization and particularly addressing issues related to urban informality in this region (José & Han-Hsiang 2020). In Africa, such interventions have included upgrading the informal settlements through forced evictions, re-settlements, site and service schemes, clearing slums replacing them with new houses as the case of Arat Kilo slum and the Ginfle high-rise apartments in Addis Ababa (Zafu & Peter, 2017). The study by Zafu & Peter, (2017) revealed phenomenological and multifaced aspects of human settlements which

make it relevant to interrogate if various initiatives for settlements improvements take into consideration these complexities. Zafu & Peter (2017), observe that numerous governmental initiatives aimed at improving urban informal settlement in Africa predominantly emphasize on housing while neglecting the social and economic intricacies.

In Kenya, the Government has initiated numerous intervention measures to address low-income housing and slum improvement. The Government of Kenya, in partnership with UN-HABITAT and other stakeholders, launched the Kenya Slum Upgrading Programme (KENSUP). From 2010, segments of Kibera, Nairobi's largest slum, were transferred to 822 housing units across 21 blocks of 4-storey buildings in Soweto East village. However, approximately half of the individuals who officially received housing in the new apartments in Soweto East soon afterwards gave away, sold, or rented out their units. Prior to this initiative, local authorities developed affordable housing for low-income households in various towns and cities. Reports indicate that due to corruption and inadequate monitoring, many of the residential units were illegally privatized (National Slum Upgrading and Prevention Policy Sessional Paper Number Two (2), 2016). Other previous initiatives which failed included; i) The Pumwani-Majengo Project initiated in 1983 (National Housing Corporation, 2004); ii) Kibera High Rise Project initiated in 1990s, both displaced local residents; and iii) the Mathare 4A project that started in March 1997, which failed because it alienated the local people (Kamau, et al, 2002, Otiso, 2003).

A study by Anderson and Mwelu, (2013) showed that Kenya Informal Settlements Improvement Project (KISIP) was meant to utilize the civil society organization in community mobilization but that did not happen. According to Leah (2008) decisions were made from top, governance and community involvement in decision making had various complexities as much as the Ministry of Housing insisted that the project was participatory and community-led. Anderson and Mwelu (2013) further observe that the projects were sponsored with limited direct investment by the government of Kenya, thus raising the question of sustainability. This particular study seeks to investigate the implication of residents' participation, or lack thereof, in the upgrading initiatives

focusing on the National Youth Service (NYS) Upgrading Initiative. The element of participation is significant as the upgrading initiatives may be disruptive of everyday lives the community including business, places of work and schooling for children. Other critical issues include security of ownership or tenancy. This study explored integration of community participation into the NYS initiative in Kibera Soweto East Village. Despite the village experiencing attention before from various initiatives as indicated above, like other villages in Kibera, Soweto East has extremely high population density with poor housing conditions and lack basic services. The NYS initiative was the latest intervention preceding the study.

1.2 Statement of the problem

Good housing that befits human dignity is basic and provided for international human rights law. Adequate housing is constituted by element such as safety, security, accessibility, and affordability. However, rapid urbanization across the world and particularly in Africa is characterized by rural to urban movement of people with limited corresponding increase in housing and related infrastructures and facilities. Most of those who move to urban centers are poor, jobless and low income earners. This has brought about the phenomenon of informal settlements to accommodate low income urban residents who cannot afford decent housing. These settlements are environmentally, economically, and socially disengaged from wider urban systems and are characterized by overcrowding, inaccessibility to appropriate utilities, such as safe drinking-water and sanitation, and insecure tenure with regular forcible evictions leaving the dwellers homeless and forcing them deeper into poverty. Governments across the world have taken initiatives to upgrade these settlements. The upgrading consists of physical, environmental, economic, social and organizational improvements to make better the housing conditions of those who dwell in these informal settlements. Countries across the world including Indonesia, Thailand, India, Brazil, Colombia have initiated slum upgrading programmes some of which have been successful while others have not resulted in effective improvement.

Kenya like any other country has experienced rapid growth in the urban population as a result of rural-urban migration leading to limited housing provisions. Kenya is governed by its 2010 Constitution which contains a Bill of Rights. The right to suitable housing is provided for under Article 43 (1) every person has the right: *‘to accessible and adequate housing, and to reasonable standards of sanitation; to clean and safe water in adequate quantities;’* Accordingly, the government in collaboration with development partners have initiated various upgrading initiatives such as KENSUP and KISIP through the Ministry of Housing (MoH) and the Ministry of Lands. Both programs were designed with community participation as a core component. However, an empirical study by Anderson and Mwelu (2013) reveals that the community participation process was flawed, as the communities targeted by the project were not fully engaged. This raises the question whether community participation forms a critical link toward successful slum upgrading programme. Can involving the people whose dwellings are to be upgraded contribute to the mitigation of the aspects that affect outcomes of slum upgrading initiatives? It is against the background of the above observations that this study sought to investigate the degree to which the Ministry of Devolution and planning through the National Youth Service (NYS) Upgrading Initiative incorporated community participation as an integral element. The study focused on Soweto East Village in Kibera. The village is significant in this regard because, just like other villages in Kibera, it has extremely high population density with poor housing conditions and lack basic services. The NYS initiative was the latest intervention preceding the study.

1.3 Objectives of the Study

This study sought to explore the integration of community participation of residents in the National Youth Service (NYS) Upgrading Initiative in Soweto East Village Kibera.

1.3.1 Specific Objectives

- i. To analyse the implication of informal settlements on living conditions of residents in Soweto East Village Kibera.

- ii. To explore how implementation strategies of the National Youth Service (NYS) Upgrading Initiative integrated community participation in Soweto East Village Kibera.
- iii. To assess the perceptions of Soweto East village residents on participation in the National Youth Service (NYS) Upgrading Initiative.

1.3.2 Research Questions

The questions that guided this research were,

- i. How did informality of settlement in Soweto East Village Kibera affect the living conditions of the residents?
- ii. How did the National Youth Service (NYS) implementation strategies of upgrading Initiative integrate community participation in the in Soweto East Village Kibera?
- iii. What were the perceptions of Soweto East village residents on participation in the National Youth Service (NYS) Upgrading Initiative?

1.4 Rationale of the study

Improving the housing conditions of urban poor is at the core of responses to poverty in developing countries. Slum upgrading programmes have been integral part of these responses. In Kenya the government and development partners have initiated various slum upgrading programmes including construction of affordable housing, relocation, improvement of social facilities and sanitation. However, the issue of informal settlements and human conditions therein remain a critical housing problem in urban settlements. Some of the factors highlighted include inadequate coordination among government, private sector, civil society (communities in informal settlements and non-governmental organizations), and international development partners. This particular research is significant in that it seeks to contribute to the scholarship, policy, and practice in slum upgrading initiatives by placing community involvement at the centre of these initiatives. It does this by highlighting the socioeconomic dynamics of slum upgrading, effects of these initiatives on residents who may be affected in the process and interrogating the contribution of community participation to the overall objective

of the slum upgrading initiatives. This study explored the contribution of community participation in upgrading of urban informal settlement with a focus on the National Youth Service (NYS) Upgrading Initiative in Kibera, Soweto East village. In doing so the study sought to inform policy on slum upgrading and the implementation of such policies within Kibera and elsewhere in the country. Additionally, the findings contribute to further research by providing information to scholars and research institutions studying the subject of community participation in development programmes.

1.5 Conceptual framework

Upgrading of urban informal settlement is a holistic and coordinated intervention designed to enhance both the physical characteristics of a neighborhood and the overall quality of life for its residents. It involves physical, environmental, social, economic and organizational enhancements carried out cooperatively by state agencies, development agencies, community groups, businesses, and local authorities (UN-Habitat 2003: 165). Specific components may vary across different projects, however slum-upgrading interventions generally address five key dimensions including physical improvements (such as water, sanitation, and electricity), tenure regularization, housing upgrades, social facilities, and social development as indicated in **fig 1.1**. The implementation strategy of slum upgrading is crucial to the success of the program. Therefore, the institutional setup of slum-upgrading programs is critical and a comprehensive legal and regulatory framework be put in place to guarantee the effective implementation of the initiatives. Upgrading of urban informal settlement should also be a participatory process that involves slum dwellers, with support from community-based organizations (CBOs) and NGOs. National governments and development finance institutions should play a facilitative role in supporting slum-upgrading programs.

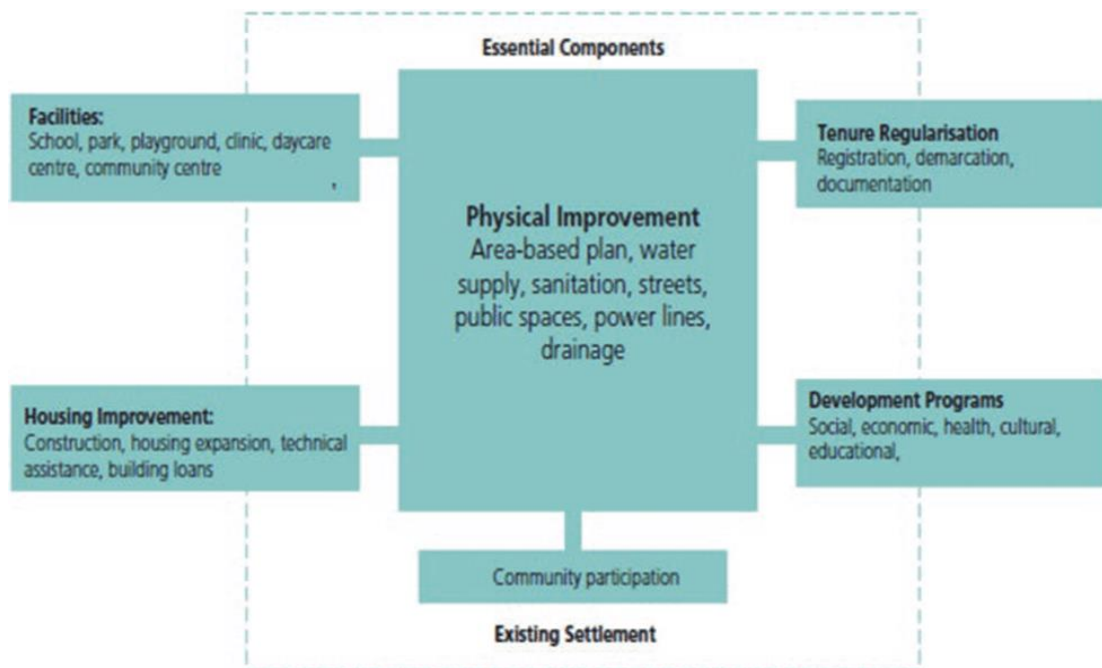


Figure 1.1: Conceptual Framework (Source: UN-Habitat, 2012a)

1.6 Definition of Terms

For the purpose of this study community participation means involving persons affected by a particular issue in the identification of their problems, the means of solving the problems, planning, making decisions and execution of the decisions.

Informal settlements: The UN-Habitat 2015 defines an informal settlement as a group of individuals living under the same roof in an urban area who lack one, several, or all of the following: Access to clean water, improved sanitation, security of tenure, durability of housing, and sufficient living area.

CHAPTER TWO: LIETRATURE REVIEW

2.1 Introduction

The subject matter of this study, slum upgrading initiative, is one of the issues of urbanization especially in developing countries. Urbanization is a societal phenomenon that has exerted considerable influence over human life. According to UN-Habitat (2020) as of 2018, 55.2% of person living on planet earth were urbanites in the recent century, predominantly in developing nations. Researches highlight the nexus between urbanization and population expansion. According to UN-Habitat (2010), the number of persons residing on the planet earth within ten years into the new millennium were about 7 billion people. By 2050, “six billion people, (that is) two-thirds of humanity, will be living in towns and cities”. (UN-Habitat, 2010). Kone (2018) observes that urbanization creates opportunities for the majority of the poor to experience better life by enabling job opportunities.

This observation notwithstanding, urban settlements are characterized by human challenges like quality housing. Studies indicate that most governments especially in Africa cannot adequately respond to processes associated with urbanization such as migration to urban areas such as the phenomenon of informal settlements (Hart, 1973). These challenges include housing conditions that befit human living. Studies demonstrate that the problem manifests itself in terms of acute deficiency of housing facilities and related built environment, poverty and inequities in the urban settlements, healthcare, and education (Leah, 2011). In 2022 the number of persons living on the planet earth “reached 8 billion and more than half (56%) of this population was living in cities and this figure is expected to increase to 68% by 2050” (UN-Habitat, 2023). This data is significant for this particular study in that it allows us to place Kibera informal settlements and relevant intervention measures within the global context.

Empirical studies and reports have highlighted the implication of urbanization on human conditions such as health issues, education, crime, and sanitation and corresponding intervention measures. Ziblim et al. (2013), noted that the “UN

Millennium Development Goals (MDGs), Goal 7 Target 10, had a target to enhance living conditions of over 100 million persons residing in informal settlements by the year 2020.” *UN-Habitat-Report Volume 4, highlights that Sustainable Urban Development Goals: Agenda 2030* including Goal 11 which seeks an all-encompassing, secure, and durable and sustainable human living conditions.

There is a sharp contrast between urbanization in global north and global south. In developed regions, urbanization has often accompanied industrialization and economic progress (Voumik & Sultana, 2022). This is not the case in developing regions where there is a remarkable presence of poor urban dwellings, referred to as slums. The UN-Habitat (2015) indicates urban dwellers living in slums with poor countries have dropped from 46.2% in 1990 to 39.4% in 2000, 32.6% in 2010, and 29.7% in 2014. This contrasts with experiences in the global south nations like those in African continent, Asia and South America which have registered population growth, increase of urban informal settlements population, and migration from rural to urban areas (Akirso, 2021). This observation makes this study relevant to development discourse and practice.

Accordingly, informal settlements have been widely discussed in to relation socio development, environmental sustainability, and urban poverty just among numerous topics (Davis 2006). The umbrella term "informal settlements" encompasses a range of descriptors including “slums, squats, shantytowns, spontaneous settlements, uncontrolled or unplanned settlements” (Nuissl & Heinrichs, 2013), clandestine communities, and subnormal or spontaneous habitats, among others. The UN-Habitat (2015) defines an informal settlement as “a group of individuals living under the same roof in an urban area who lack one or more of the following: access to improved water, access to improved sanitation, security of tenure, durability of housing, and sufficient living area.” There are a number of definitions of informal settlements. Underlying numerous definitions is that these settlements lack proper approvals and predefined designs, do not follow designated land uses as formerly defined, and have no definite ownership of the land on which buildings are erected. Further, these settlements are

low-quality housing constructions, without essential public services and infrastructure networks.

Studies reveal that régimes in low income states countries do not build low-cost housing against the backdrop of a rapidly expanding urban population residing in informal settlements urbanization across the world (Gilbert, 2000). Existing researches indicate that in the Latin American and the Caribbean region, 23.5 percent or 113 million people were living in slums in 2012. Over 160 million households in the region were living in slums in 2020 (UN-Habitat, 2012b). Statistics further indicate that 37 percent of the homes in Argentina and 56 percent in Colombia (Rojas et al., 2010). According to Bouillon (2012), this situation persisted over the years, with over 60% housing developments considered as informal.

In Africa, the dominance of informal settlements for poor urban dwellers is found in Accra, Lagos, Nairobi, Addis Ababa, Johannesburg, Cape Town, and Durban (Zhang, J. et. Al 2020). Sub-Saharan Africa has the majority of persons living in informal settlements and 62 percent of those who reside n urban dwellings live in informal settlements. This figure is higher than that of South Asia, Latin America, the Caribbean; and North Africa which have registered 35%, 24%, and 13% respectively (Zhang, J. et. Al 2020). This particular study contributes to this body of knowledge by, at least in part, interrogating housing conditions in Kenyan urban settlements.

Informal settlements have generated attention from scholars and as well as global policy institutions such as the UN-Habitat with corresponding calls and initiatives for intervention. Researches reveal various approaches as intervention measures including “forced evictions (“eradication”) and resettlements, to site and service schemes, redevelopment, in-situ upgrading, and regularization” (David, 2012). The outcome of these interventions do not reflect the desired goals because mostly the focus is on housing with less attention to basic infrastructure and services (Otiso, 2003 and Muraya, 2006). David, (2012) points out that “economic, social, institutional, and community activities” that are needed to improve the overall conditions of the population dwelling in these slums have not been mainstreamed.

For example, in Latin America, Chile has been able to provide universal housing, but without considering transport system, quality housing, affordability and accessibility (Magalhães et al., 2016). Brazil has tried to improve housing conditions as well as affordability, but has not succeeded in proper planning that fosters equality and cohesion among urban dwellers (Magalhães et al., 2016). These experiences are significant in the study of Kibera slum upgrading as they provide elements for analyzing the various dimensions of the initiative.

2.2 Urban Informal Settlements in Kenya

In Kenya, informal urban settlements are a critical policy issue for the government and hence a key component of sustainable development and particularly affordable housing policy. This commitment is manifest in the various governmental initiatives which seek mainstream national housing, broadly and slum more particularly as a national development priority (KENSUP, 2005). Additionally, Chapter Four, Section 43 (1b) of the Constitution of Kenya (2010) affirms that every individual has the right to accessible and adequate housing, as well as to reasonable standards of sanitation. In response to the growing challenge, the government of Kenya designed different strategies ranging from forced evictions (eradication), resettlements, site and service schemes, redevelopment, and in-situ upgrading and regularization since the early 1970s, and the slum upgrading programs (Agayi & Serdaroglu, 2020). The recent slum upgrading activities have partly aimed at promoting a bottom-up approach by incorporating member of the society at all levels and in every aspect including the social, physical, environmental, and economic dimensions (RoK, 2017; Uzun & Simsek 2015). Just to mention a few initiatives, examples of in-site upgrading programs include Nairobi's Huruma, Kambi Moto, Mahira, Redeemed, and Ghetto, Gitathuru. Some of other initiatives have been carried out in peri-urban areas by private businesses, saving and credit societies and social welfare organisations across the country (UN-HABITAT, 2016). These initiatives notwithstanding, their effectiveness have been shaped by the level of inclusion or lack of it.

As already highlighted earlier, the phenomenon of informal settlement in developing countries is associated with rapid urbanization, and the failure of governments to initiate comprehensive and responsive intervention measures (Anderson and Mwelu, 2013). Researchers have interrogated, with a negative verdict, whether resettlement, forced eviction, site and services schemes, and upgrading initiatives brought desirable outcomes (UN-HABITAT, 2008).

Notably, before the year 2000, forced eviction was predominantly used as a mechanism for dealing with informal settlements. However, with the adoption of the Millennium Development Goals (MDGs) by UN member countries, Kenya began transitioning its approach towards slum upgrading. The Kenyan government and UN-HABITAT initiated a collaboration in slum upgrading in 2000, leading to a Memorandum of Understanding (MOU) on February 15, 2003 (Raakel, 2008). This MOU established the Kenya Slum Upgrading Project (KENSUP). This initiative initially focused on Nairobi's largest slum, Kibera, and later expanded to cover the three largest Kenyan cities. In 2005, the Government of Kenya developed specific implementation and financing strategies for KENSUP, aligning them with the MDGs' timeframe up to 2020. Several upgrading projects have been initiated by the government of Kenya in partnership with other partners both local and international organizations such as the Informal Settlement Improvement Programme (KISIP) and 2014, the government, through the Kenya Power Company, partnered with the World Bank's Global Partnership Output-Based Aid (GPOBA) to connect 150,000 households in informal settlements nationwide to the national electricity grid (World Bank, 2013). This observation is relevant since the principles of MDG provide us with a yardstick for assessing the Kibera slum upgrading project with a narrower focus on the elements of community involvement.

2.3 Upgrading of Urban informal settlement

The present and future of humanity are centered on urbanization. As mentioned, by 2050, 68% of the world's population will reside in cities. While this is the case, the majority of urban dwellers especially in developing societies are living in squalid

human conditions in a social and physical environment not worthy of human existence. The trajectory of urbanization of how cities evolve and expand now is critical in determining the quality of life for individuals. This assumption is that of Sustainable Development Goal 11 as Nora & Larissa (2015) state that the intention is to foster urban and human environments that cater for everyone's wellbeing is catered for sustainably. This aspiration justifies slum upgrading programs in those societies where housing provisions do not match fast-growing urbanization. The primary motivation for upgrading informal settlements is grounded in the fundamental right of individuals to live in conditions that uphold basic dignity. Furthermore, from a city's perspective, it is in its best interest to engage in upgrading efforts to enhance existing urban informal settlements and prevent the emergence of new ones. This process encompasses the provision of economic, social, institutional, and community services, addressing legal (land tenure), physical (infrastructure), social (crime, health, or education), and economic aspects (Ronald, 2013).

By upgrading urban informal settlements we understand those initiatives geared toward enhancing the quality of housing, related infrastructure and services in settlements which are referred to as urban informal settlements by virtue of their human conditions (UN-Habitat 2009). Quality housing entails sufficient privacy, adequate space, physical accessibility, security, tenure stability, structural integrity, proper lighting, heating, and ventilation (Satterthwaite, 2021). It involves essential infrastructure like water supply, sanitation, and waste management, as well as suitable environmental conditions, health factors, and a location that provides convenient access to work and essential services, all at an affordable cost David (Satterthwaite, 2021). In this respect, the essentials of a house go beyond the physical structure to encompass social, economic, and environmental contributions to the lives of its inhabitants (Satterthwaite, 2021). Upgrading, as observed by Valeria, (2013), should focus on initiating economic, social, institutional, and community activities necessary to reverse negative trends in the area. The multifaceted nature of quality housing and by implication slum upgrading calls for working together among stakeholders, including residents, community groups, businesses, and local or national authorities if applicable, is crucial in undertaking these

activities. An example of a collaborative initiative is the Slum Networking Project (SNP) in Ahmedabad, India. The project was initiated in 1995 by Ahmedabad Municipal Corporation (AMC), the project was a unique partnership between AMC and NGOs. In this project, local government capacity and commitment were key in the physical upgrading. Extensive community and non-governmental participation achieved better community development and weak households were empowered through participation (Diane 1997). This example is relevant as it highlights the significance of involving relevant stakeholders in slum upgrading initiatives. A narrow understanding of urban poverty is likely to affect conceptualization and planning all-inclusive upgrading programs. The failure of the upgrading projects is a result of overlooking the importance of community support for their successful implementation especially when "top-down" approaches are used (Andreasen & Møller-Jensen, 2016). This insight will allow us to interrogate the relevant stakeholder involvement in slum upgrading initiatives in Kenya.

In Kenya there have been efforts by the government to upgrade the urban informal settlements however there has been more emphasis on housing, urban infrastructure and services whose outcomes are characterized by mistrust and suspicion among those affected by the projects. Examples are the Kenya Slum Upgrading Programme (KENSUP), and the Kenya Informal Settlement Improvement Project (KISIP). KENSUP was established in 2004, the Government of Kenya and UN-HABITAT were the main partners and scheduled to complete in 2020 (UN-HABITAT, 2016). The objective of the project was to make better living conditions of persons residing in urban areas by creating opportunities for earning income, better housing, secure and clean built environment and improved physical as well as social infrastructure. The project was meant to rehabilitate the Soweto East section of Kibera. KISIP was later introduced as the government sought to partner with donors to finance the entire project (Dániel et al. 2021). KISIP began in 2011 as in form of a collaboration between the Government of Kenya, the World Bank, the Swedish International Development Cooperation Agency (Sida), and the French Agency for Development (AFD). The aim of KISIP was make better conditions of life in urban informal settlements in selected municipalities

in Kenya. By January 2016 the initiative developed 13 settlements and improved 17.5 km of road and 11 km of drainage in informal settlements which benefitted 250,000 residents. These developments notwithstanding, the overall conditions of residents in informal settlements remained wanting. To what extent did these initiatives incorporate the involvement of the people? And what were the implications of inclusion or lack of it. An empirical study done by Leah (2011) on both KENSUP and KISIP indicates there was limited community participation. According to Obare (2020) the Government of Kenya and KENSUP did not include key stakeholders including landlords and tenants in the initiative which is key for successful upgrading of informal settlements (UN, 2012). In relation to the above studies, this particular study allows us to interrogate the relevance and contribution of involving the communities affected by the upgrading of urban informal settlements project with a specific focus on National Youth Service (NYS) upgrading initiative in Kibera, Soweto Easy village.

The objectives of the study are derived from major weaknesses of the Kenyan government in the implementation of the upgrading project by not engaging the most affected community or project beneficiaries. Community participation throughout project cycle is a key factor in the community project success, developing shared knowledge, ownership and responsibility in the pursuit of sustainable community projects (UN-Habitat 2011). This work, thus aimed at investigating the extent to which the community were involved and the success of the National Youth Service (NYS) upgrading initiative in Kibera, Soweto Easy village.

2.4 Community participation in upgrading of urban informal settlements

Successfully upgrading urban informal settlements depends on a collective commitment from all stakeholders: the city, the community, and the families. Building a strong sense of partnership among these groups is essential. Furthermore, any upgrading effort must address real needs, with community desire and recognition of its value being crucial. To ensure lasting improvements, sustainability should be a key focus in financing, institutional frameworks, and regulations (Menshawy et al., 2011). Community participation is a critical aspect of sustainability. Community participation

as noted earlier in this work community participation means involving persons affected by a particular issue in the identification of their problems, the means of solving the problems, planning, making decisions and execution of the decisions. The term community was used to refer to all individuals residing in the area of interest which is Soweto East Village, in Kibera. It is crucial to employ the concept of a community critically, treating it as an analytical unit for the project rather than a mere empirical concept. In this understanding the study acknowledges the diverse composition of a community including tenants and landlords, non-governmental, service provider, civil society groups among others. A project in upgrading informal settlement encounters intricacies inherent particularly within informal urban community settings as Munguti and McGranahan, (2002) observe. This observation made focusing on community participation relevant because the upgrading initiatives need to grapple with complexities which are deeply embedded with informal urban settlements.

2.5 Obstacles to Upgrading Urban Informal Settlements

Studies indicate that communities are always slow to embrace slum upgrading initiatives. One of the reasons is fear of displacement, unaffordability of upgraded houses as well corruption which may make them not benefit from the initiatives (Huchzermeyer, 2008; Dafe, 2009).

Despite the implementation of large-scale slum upgrading and redevelopment initiatives aimed at improving the lives of informal settlement residents, past efforts have raised significant concerns about their effectiveness in truly benefiting slum dwellers or eliminating slums from urban areas. In many cases, beneficiaries of these projects end up renting out the provided housing and eventually return to informal settlements. As a result, such projects often lead to the relocation of slums rather than their actual upgrading (Otiso, 2003). A survey carried out in Soweto, Kibera in 2008 to find out the perspectives of residents on how their lives can be improved. From the study, 15% indicated that better houses were the solution. According to a study by CESSCR, (2011) the reason why people reside in Kibera is because they are so poor that they lack the finances to pay rent for decent houses in better residential areas. If their

life status improves, they will move to better homes and residential estates. This observation has implications on slum residents' perspective on slum upgrading which this study explores.

According to Abiko et al., (2007), upgrading urban informal settlements require involvement and engagement with the residents since their needs and priorities can inform more prospective programming. Abiko et al., (2007) give as an example the Favela-Bairro project in Brazil, one of success stories in upgrading programme attributed to involvement of categories of stakeholders in the project including the Inter-American Development Bank, city governments, NGOs, the private sector, churches and residents (Costantino, 2003). Another relevant example is that of Ahmedabad slum in India which involved local government agencies, private sector partners, NGOs, and local residents (Das and Takahashi, 2009). Another innovative project that involved the communities is the Orangi Pilot Project (OPP) in Karachi, Pakistan. The OPP was established in the year 1980, with the main purpose of overcoming the constraints faced by the government in improving and regularizing Katchi abadis which means squatter settlements on government land (Case study of the Orangi Pilot Project, Pakistan, 1996).

Recognizing every social aspect of community concerns can influence its organizing and participation (Mansuri and Rao 2014). This calls for analysing sociological and demographic complexities the may underlie forms of social exclusion that ultimately affect well-being of the people. The diversity within communities implies varying needs among individuals. In this research, we interrogate how such understanding could assist projects in enhancing the inclusivity of participatory processes by addressing gaps and mitigating exclusionary practices that hinder people from actively participating.

An impactful intervention in community projects calls for good working relationship between beneficiaries and those implementing the projects. In this respect stakeholders can bring out innovative responses to the issues affecting the community. This involves, in part, effective communication among the stakeholders including planners, executors and beneficiaries. Significantly, the involvement and leadership of women

have proven to enhance household livelihoods and contribute to a more equitable decision-making process over intervention processes (Aleman 2009). Mistrust stemming from limited engagement may further lead to community opposition or protests against slum upgrading initiatives.

Misselhorn, (2017), observes that, notwithstanding its significance, community participation is a burdensome process that might lead to complaints and protests over unmet service delivery. Effective community involvement is crucial for the sustainability of in-situ upgrading efforts post-implementation (El Menshawy et al., 2011) and can promote lasting collaboration between communities and government (Simone et al., 2005). This involves negotiations and compromises for mutual agreements on what maybe suitable for the community as a collectivity.

As governments seek to adopt participatory processes in upgrading urban informal settlements, they often end up resorting to involuntary and top-down approaches. This frequently leads to challenges such as mistrust, reluctance, and resistance to relocating affected individuals to temporary sites, primarily because community views were not considered (Amelia et al., 2011). According to Ziblim et al. (2013), community participation often becomes a mere administrative formality involving pre-designed plans and expert meetings, leaving little opportunity for genuine community input and influence. A notable example of a project intended to engage the community is the Participatory Development Programme (PDP) incorporated into the Informal Settlements Development Facility (ISDF) in Egypt in 2008. The PDP aimed to enhance urban upgrading by fostering collaboration between local governments and civil society organizations, including informal settlement residents, to ensure adequate service provision (Khalifa, 2015). However, a review of the ISDF by El Maabady (2015) revealed that genuine community participation was lacking. Despite the program's focus on funding housing construction, it failed to address the beneficiaries' needs and socio-economic conditions. Consequently, living in the new units became prohibitively expensive for the poor, and the absence of a power supply led many to reinstate illegal electricity connections (El Maabady, 2015).

The issue of community participation as it emerges for the foregoing review is a key ingredient of slum upgrading initiatives. This particular study sought to contribute to existing research on slum upgrading initiatives with a focus on the NYS upgrading initiative in Soweto East, Kibera by exploring the contribution of community participation. In doing so the study interrogates the nexus between community participation and successful upgrading of urban informal settlement as a critical element. More particularly, the study interrogates whether involving the people whose dwellings are to be upgraded can contribute to the mitigation of challenges facing upgrading of urban informal settlement.

CHAPTER THREE: METHODOLOGY

3.1 Study area

The research was conducted in the Kibera slum, specifically in Soweto East village. Kibera is located approximately 6.6 kilometers southwest of Nairobi City Centre, with coordinates roughly at 1°18'S 36°48'E. Covering an area of about 2.5 square kilometers, Kibera is the largest informal settlement in Nairobi. According to the Kenya National Bureau of Statistics census conducted in 2019, Kibera has a population of 185,777. It represents 60% of Nairobi's population while occupying only 6% of the land. The socio-economic activities in Kibera are primarily informal, characterized by widespread unemployment, poverty, and limited access to essential services. Many residents rely on self-employment, with most economic activities including street vending, small businesses, and informal trade. The slum also faces significant environmental challenges, including pollution and inadequate waste management. These challenging conditions in Kibera may be the impression of little or no government intervention or development plans in the past, making it a compelling focus for the study. Kibera consists of thirteen villages: Soweto East, Soweto West, Kisumu Ndogo, Lindi, Laini Saba, Gatwekera, Siranga, Makina, Salama, Ayany, Kianda, and Mashimoni. The study focused on Soweto East just like other villages in Kibera, Soweto East has extremely high population density with poor housing conditions and lack basic services which called for interventions. The NYS initiative was the latest intervention preceding the study.

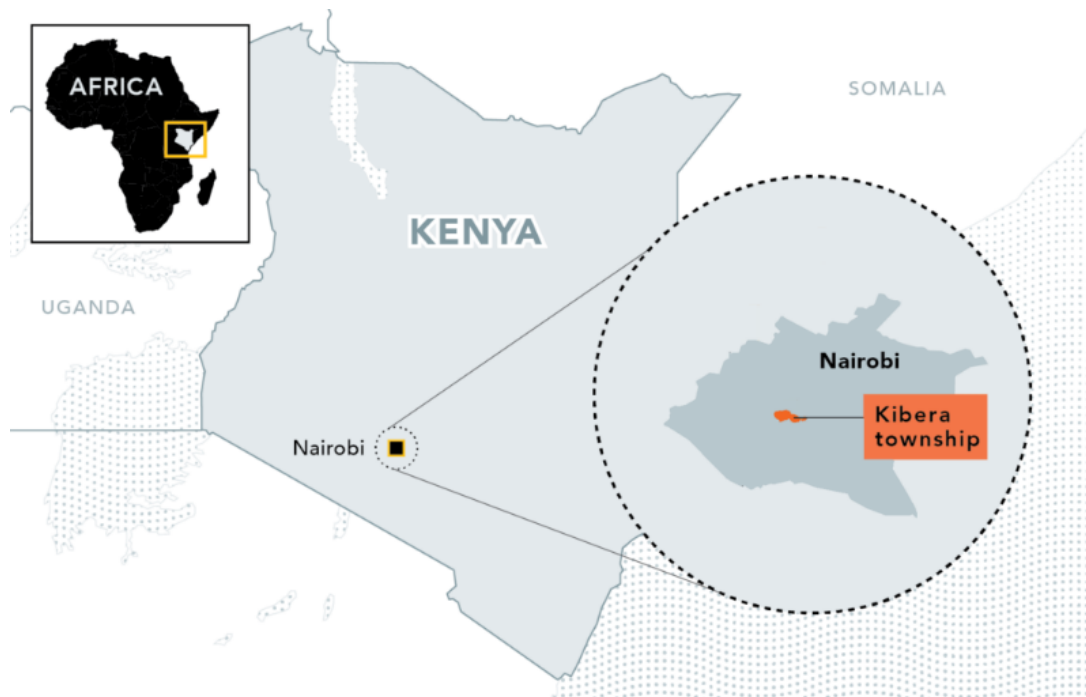


Figure 3. 1: Kibera juxtaposed on Kenyan map (Source; 2025 KGSA)

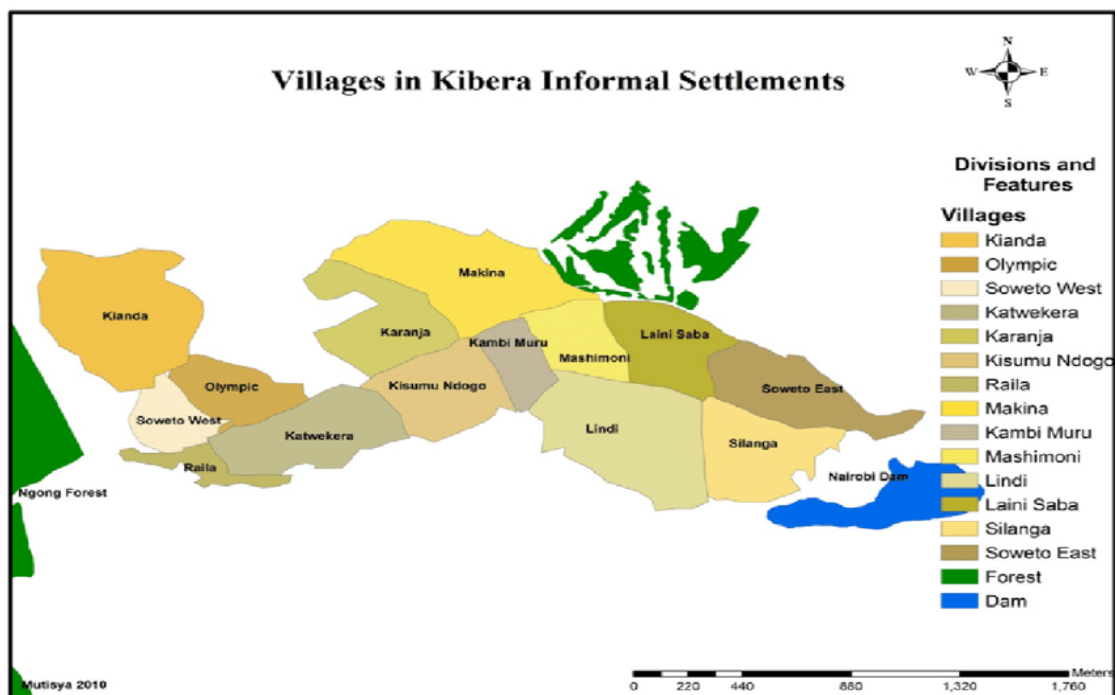


Figure 3.2: A map of villages in Kibera (Source; (Mutisya, & Yarime, 2011))

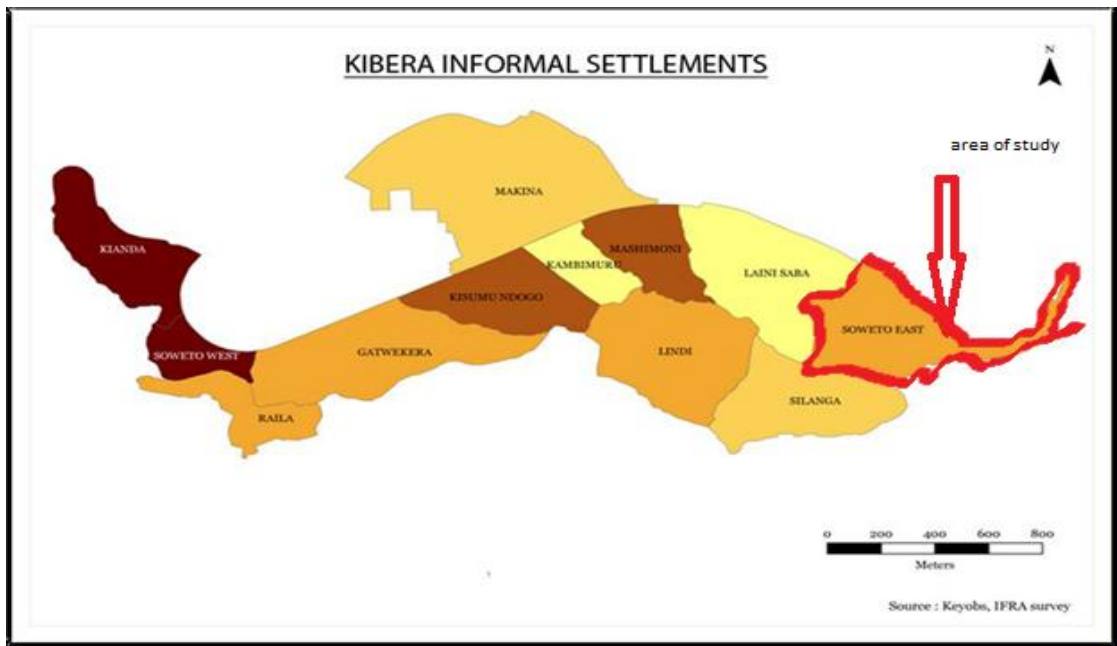


Figure 3.3: Map of Soweto East Village (Kibera) (Source; (Amlie, & Sophie 2011)

3.2 Study design

Study designs refer to the methods and procedures employed to gather and analyze data in a research study J. Howick (n.d.). The study design provides a framework that helps researchers select the appropriate methods for the subject and ensures the study is set up for success. This study incorporated both qualitative and quantitative research approaches to explore the extent to which the National Youth Service (NYS) Upgrading Initiative integrated community participation in the upgrading of case of Soweto East village in Kibera informal settlement, Nairobi County, the case of Soweto East village.

Quantitative approach was applied in gathering and analyzing numerical data by the use of statistical techniques and presented them in the measurable units. In this study structured questionnaire were used to collect information capturing a general survey on Status of housing conditions in Kibera, Soweto East Village, the kind houses, water accessibility and provision, sanitation (waste disposal and access to toilets); electricity, educational facilities; status of roads; status of residency as well as the residents' perception of the NYS upgrading project in Soweto East village.

Quantitative information was complemented by non-numerical information gathered through key informant interviews, Focused Group Discussions and Observations to understand the complex issues relating the NYS upgrading project in Soweto East village. The key informants included the representatives of the residents, implementing agencies, CBOs, local politicians among other relevant agencies including the ministry of Devolution and Planning. The goal was to get insights into peoples' experiences about their housing condition, sanitation, employment, their expectations on the expected improvement and their response to the strategies applied for upgrading initiative.

3.3 Population

The target population is the complete set of units from which the research aims to draw its conclusions (Michael, 2023). Target population refers what is being studied (Martínez-Mesa et al., 2016). This study focused on the residents of Soweto East Village, Kibera and the agents who were involved in the planning and implementation of the initiative including the relevant government agencies, expertise, CBOs and local politicians. At the time of this research and the upgrading programme under this study, Soweto East Village had a total of 19,318 inhabitants spread out in four zones; A (6, 288), B (4, 709), C (3, 256) and D (4, 331) (UN-HABITAT, 2008).

3.4 Sampling procedure.

The study utilized both probability and purposive sampling methods. Probability sampling was applied to gather information on the living conditions of residents in Soweto East Village, which is divided into four zones: A, B, C, and D (as illustrated in 3.3 above). This approach was also useful in generating information regarding the peoples perspective and experiences on the NYS initiative. Purposive sampling was used with respect to, focused group discussions and key informants drawn from the ministry of Public service, youth and gender affairs, local leaders, NYS, CBOs and the local political class. The key informants were sampled based on their expertise and involvement in the upgrading inventive, the knowledge of the challenges the residents face and their influence on the implementation of the initiative.

3.5 Sample size

Sample size is the number of participants or observations included in a study to represent a population (Andrade, 2020). It represents a subset of individuals, items, or data points selected from a larger population to make statistical inferences about that population. In this study a sample size was determined according to the formula below. The formula used is derived from Miller and Brewer (2003).

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

Where

a was the level of significance or margin of error (5%)

n was the sample size

N was the sample frame.

The 95% was considered as appropriate response rate due to the fact this study focused on human subjects where cardinality can be doubtful given subjective nature of human beings. Therefore:

19318

$1+19318(0.05)^2$

$n= 391$ respondents.

The study sampled 391 for the purpose of generating quantitative data. From the study sample of 391 two focused group discussion were constituted. The study also drew a sample from key informants for purposes of qualitative data. A total of twenty (20) respondents drawn from key informant drawn from, Ministry of Devolution and National Planning (1), Ministry of Public Service, youth and gender (2), selected members of household (6) NYS officials (1) Cohort representative from Soweto East Village (2), village youth leaders (3), NGOs/CBOs (2), local administration {Chief and Assistant Chief (2)}, and local politicians (1).

3.6 Data Collection procedure

The study employed both primary and secondary data collection methods. Secondary data was obtained from relevant literature, including UN-Habitat publications, academic journals, books, reports, government documents such as the Housing Policy, population census, the 2010 Constitution of Kenya, and other pertinent materials related to the study topic. This secondary data also guided the development of the study's conceptual frameworks and helped determine the type of data needed from the field.

The primary data was gathered through structured questionnaire, for the residents of Soweto East so as to be able to get insight general setup of the village and their perception of the initiative. The in-depth interview guide were used to interview the experts that were involved in the execution of the project from the relevant agencies, NGOs officials, CBO, the local political and the Ministries' officials. In-depth interviews also sought after information on the strategies, priorities and perception of the experts involved in the implementation of the initiative; the agencies involved and the local community and organizations, and the integrations of community participation in the upgrading of Soweto East village. The study sought information through Focused Group Discussion whose participants were drawn from among the residents informed by their knowledge about the initiative. They included youth leaders, community-based officials, project beneficiaries, among others. Observation method was also used to collect primary data. Observation was employed in capture the settlement conditions of the residents of Soweto east.

To verify the accuracy of the measurement and ensures that the data collection procedure used produced similar results when repeated under the same conditions. The reliability of the research instruments was assessed using triangulations. To ensure validity, the researcher carefully designed the instruments based on the research objectives, ensuring that the questionnaires and interview guides were relevant and sufficient. Information obtained through quantitative techniques were corroborated with findings from interviews, FGD and observation.

3.7 Data Analysis

The study used both quantitative and qualitative methodologies to analyze the data. To minimize the amount of data collected into a format appropriate for analysis, the data collected via questionnaires, interviews, and observations was reviewed, revised, and computer-coded. The statistical package for social science program (SSPS) was then used to analyze the coded data. The findings were presented in terms of descriptive statistics. Descriptive statistics was valuable in this study as they presented the general information on living conditions of the residents of Soweto East Village. This instrument was important because the researcher needed to capture a general overview among the residents about their housing conditions. This understanding in turn would be important in assessing slum upgrading strategies and community perspectives on the upgrading strategies. Following analysis, the data was condensed into percentages and frequencies and displayed in tables, bar graphs, and pie charts. Data collected through observations and interviews from the key informants was analyzed thematically and presented in narrative form. Thematic analysis was used to get an in-depth understanding of the strategies, priorities and perception of the expertise involved in the implementation of the initiative, the agencies involved and the local community organization.

3.8 Ethical consideration

The researcher endeavoured to adhere to the ethical standards that guide research. The researcher got requisite approvals and authorization from Kenyatta University Graduate School. The approval from Kenyatta University Graduate School allowed the researcher to obtain further permission to collect data from the National Commission of Graduate School-Kenyatta University, Science, Technology, and Innovation (NACOSTI). While in the field, the researcher clearly explained the purpose and role of participants in the study. The researcher sought informed consent of the participants before every interview. Consent forms were signed by the participants who were willing to do so. Participants who chose to remain anonymous were treated as such. The

searcher committed to the respondents that utmost confidentiality would be kept and the information obtained from the interviews would be pure for academic purpose.

CHAPTER FOUR: DATA PRESENTATION, ANALYSIS AND DISCUSSION

4.1 Introduction

In this chapter the researcher presents findings as analysed in accordance with the set objectives of this study. By analysing it meant categorising information according to emerging themes, similarities and differences in order to generate insights and meaning out of the manifold of data that was collected (see Chandran, 2004).

Data collection was done through questionnaires, in-depth interviews and observation. Questionnaires were administered among the residents of Kibera, while the in-depth interviews were conducted among key respondent including, the ministry of Devolution and National Planning, Ministry of Public Service, Youth and Gender Affairs, NYS cohort representatives, NGOs, CBOs, local settlements organization, the local political class and selected members of household.

Data was analyzed using both quantitative and qualitative methods, guided by the study objectives as indicated above. Data generated by questionnaires and interview was cleaned, edited and coded to reduce the mass. The coded data was subsequently analysed using statistical package for social science programme (SSPS), this proved valuable in statistical analysis of the general state of the residents of Soweto East Village without losing meaning like gender. The analysed data were resented according to relevant units and modes.

Data collected through observations and interviews from the key informants was analysed through narratives. Narrative analysis was used to get in-depth understanding of the strategies, priorities and perception of the expertise involved in the implementation of the initiative, the agencies involved and the local community organization. These narratives were used to corroborate statistical presentation where appropriate.

Apart from the 391 households, the researcher conducted key informant interviews are in-depth qualitative interviews of a small number of responded between fifteen and thirty five with in-depth knowledge about the subject under consideration. In this study

twenty (20) respondents drawn from key informant drawn from, Ministry of Devolution and National Planning (1), Ministry of Public Service, youth and gender (2), residents (6) NYS officials (1) Cohort representative from Soweto East Village (2), village youth leaders (3), NGOs/CBOs (2), local administration {Chief and Assistant Chief (2)}, and local politicians (1).

4.2 Response Rate

Table 4.1: Response rate

	Frequency	Percent
Completed	264	67.01%
Not Completed	128	32.99%
Total	391	100.0%

The study targeted 391 households 264 filled and returned their questionnaires, while 128 did not respond.

4.3 Demographic information

The study analysed characteristics of the respondents and information about the households of the respondents according to gender, age, marital status, level of education, and income as presented blow. These analytical elements are important in understanding categories of persons affected by conditions of informal settlements, and their particular perspectives about the situation and intervention measures.

4.3.1 Gender of the respondents

The researcher analysed demographic data in terms of male and female participants as represented in table 4.2 below.

Table 4.2: Male and Female

	Frequency	Percent
Male	149	56.4%
Female	115	43.6%
Total	264	100.0%

As in the table 4.2 56.4% were male participants as 43.6% constituted by female participants.

4.3.2 Age of the respondents

The researcher requested the respondents to indicate their age. Age brackets as shown in the figure below.

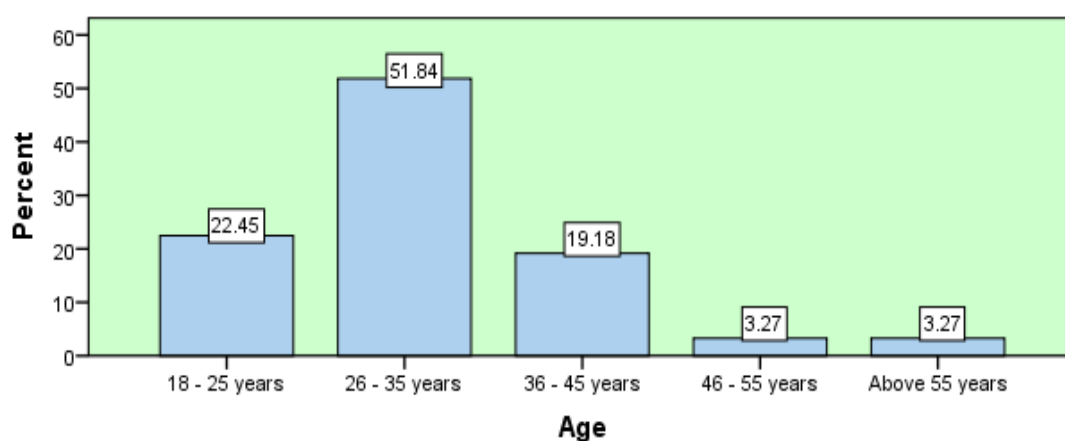


Figure 4.1: Age of respondents

Figure 4.1 indicates that the majority (51.84%) of the participants in the study were aged between 26 and 35 years, 22.45% were aged between 18 and 25 years, 36 to 45 years represented 19.18% while those aged 46 to 55 years and above 55 years were both 3.27% of the respondents. This is an indication that most of the dwellers are young families and under the youth bracket.

4.3.3 Marital Status

The researcher requested the respondents to indicate their marital status. The results are shown in the table below

Table 4.3: Respondents' Marital Status

	Frequency	Percent
Single	85	32.2%
Married	157	59.5%
Widowed	6	2.3%
Divorced	16	6.1%
Total	264	100.0%

The majority of the respondents, 59.5%, were married, 32.2% were single, while respondents that were divorced or widowed were 6.1% and 2.3% respectively as presented in the table 4.3 above. This indicates that most people living in the village are families, thus a high population is under productive age.

4.3.4 Education Level

One of the demographical elements analysed in this study was education level of the participants. The findings are shown in the figure below.

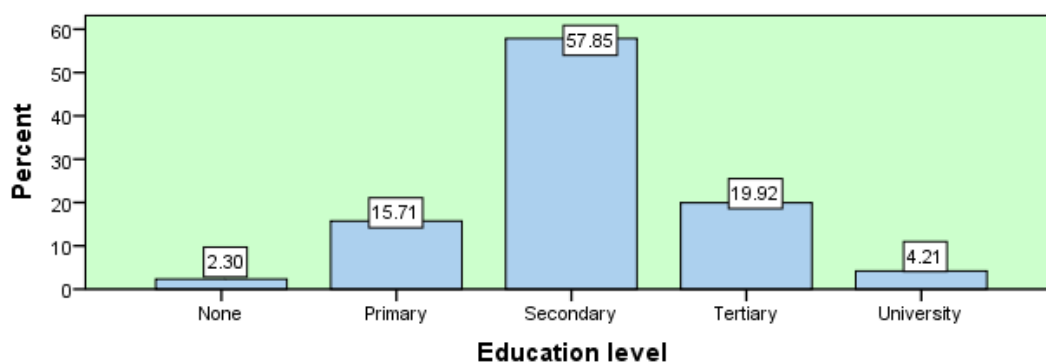


Figure 4.2: Respondents' highest level of education

Figure 4.2 illustrates the distribution of the respondents by their highest education level, the majority (57.85%) had attained secondary education, 19.92% had tertiary education, and 15.71% had primary school education while 4.21% had university education. Only 2.3% had no education at all. This indicates that most respondents were educated therefore information obtained would be reliable.

4.3.5 Monthly Income

The household earnings of participants of this study were analysed. The findings were organised according to the following categories: 5,000Ksh and below, 5,001Ksh to 10,000Ksh, 10,001Ksh to 15,000Ksh, 15,001Ksh to 20,000Ksh, 20,001Ksh to 25,000Ksh, 25,001Ksh to 30,000Ksh and above 30,000Ksh. The results are shown below.

Table 4.3: Respondents' Monthly Income

	Frequency	Percent
5000 and below	19	7.2%
5001 – 10000	132	50.0%
10001 – 15000	41	15.5%
15001 – 20000	28	10.6%
20001 – 25000	6	2.3%
25001 – 30000	14	5.3%
Above 30000	24	9.1%
Total	264	100.0%

From table 4.4 above it is evident that the majority (50.0%) of the respondents had an income of between 5,001 and 10,000, 15.5% indicated they earn between 10,001 and 15,000, 10.6% had an income of between 15,001 and 20,000, while those earning above 30,000 represented 9.1% of the respondents. Respondents with an income of 5000 and below were 7.2%. Those with an income between 20,001 to 25000 and 25,001 to 30,000 were only a combined 7.6%. In fact, it can be seen that only 16.7% of total respondents had an income above 20,000. This is an indication that a significant population category is low income earners.

4.3.6 Monthly Rent

The researcher requested the respondents to indicate the monthly rent that they pay. The results are presented below.

Table 4.4: Respondents' monthly rent

	Frequency	Percent
1000 and below	215	81.4%
1001 – 2000	25	9.5%
2001 – 3000	3	1.1%
3001 – 4000	6	2.3%
4001 – 5000	6	2.3%
Above 5000	6	2.3%
Not filled	3	1.1%
Total	264	100.0%

From table 4.5 it can be seen that an overwhelming majority (81.4%) of the respondents pay a monthly rent of 1,000Ksh and below, 9.5% reported they pay between 1,001Ksh and 2,000Ksh, while the respondents who indicated paying a monthly rent above 2,000Ksh were only a combined 8%. These findings can be attributed to the above results that show how majority of the respondents were low income earners with over 50% of them earning a monthly income of 10,000Ksh and below.

4.3.7 Size of Household

The respondents were asked to indicate the size of their household. Sizes were categorized as follows: 1 to 3 members, 4 to 6 members, 7 to 9 members and 10 members and above. The findings are shown below.

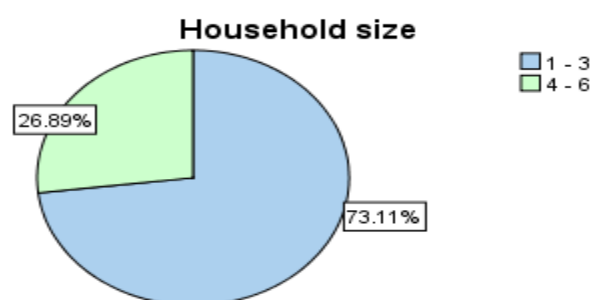


Figure 4.3: Household size

From the above figure 4.3 it is evident that majority (73.11%) of respondents indicated their household size was between 1 and 3 members, while the rest (26.89%) reported a household size of 4 to 6 members. No respondent indicated a household size of more than 6 members. These results may be attributed to over 70% of the respondents falling under the category of youth (35 years and below), thus having smaller families.

4.3.8 Head of Household

The researcher requested the respondents to indicate who the head of the household was. The results were categorized into a male or female head. Below are the findings.

Table 4.5: Household head

	Frequency	Percent
Male	204	77.3%
Female	58	22.0%
Not filled	2	0.7%
Total	264	100.0%

The results in table 4.6 above show that the head for majority of the households (77.3%) is male, while female headed households are 22%. The results indicate that majority of the respondents are male and also majority of the respondents are married. The explanation of this male dominant demography is that, most of the residents are male job seekers some of who moved from the country side, their birth origin, to the city in search of jobs. Slum dwellings become the destination for the majority who come to look for jobs in the city.

4.4 The implication of informal settlements on living conditions of residents in Soweto East Village Kibera.

Objective one sought to analyse the implication of informal settlements on living conditions of residents in Soweto East Village Kibera. Thematic elements that emerged from the analysis are discussed below;

4.4.1 Number of rooms in the house

The respondents were asked to indicate the number of rooms their house had as indicated in figure 4.4 below.

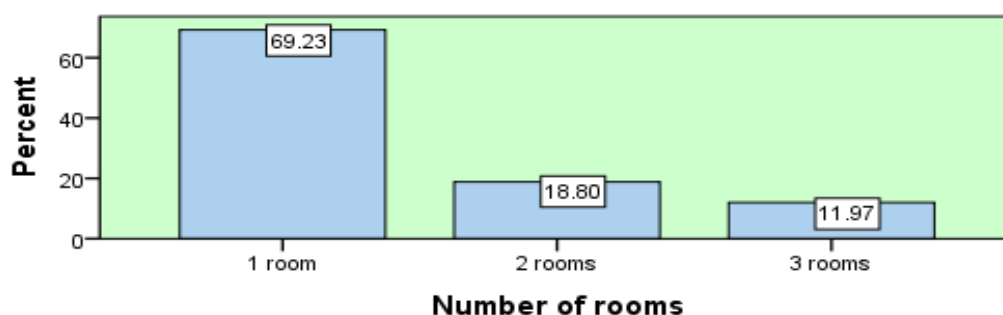


Figure 4.4: Number of rooms in the house

As evidenced in figure 4.4 above, most respondents (69.23%) reported that they had single roomed houses, while 18.8% and 11.97% indicated their houses had 2 rooms and 3 rooms respectively. No respondent indicated having a house with more than 3 rooms. This can be attributed to majority of the respondents earning low income and thus only being able to afford single roomed houses as they are cheaper.

4.4.2 Type of building material used for the house

The researcher asked the respondents to indicate what type of building material was used for walling their house. The options included stones, mud, iron sheet, wood, bricks and scrap metal. The findings are presented below.

Table 4.6: Type of building material

	Frequency	Percent
Stones	19	7.2%
Mud	182	68.9%
Iron sheet	25	9.5%
Wood	25	9.5%
Bricks	11	4.2%
Not filled	2	0.8%
Total	264	100.0%

Table 4.7 above reveals that the majority (68.9%) of the respondents reported that mud was the building material used for the walling of their house, 9.5% indicated iron sheet, the same percentage also indicated wood, 7.2% indicated stones and only 4.2% indicated bricks. Figures 8, 9 and 10 below indicate the kind of building material used for walling including iron sheet (*mabati*), stones, bricks and mud. The building as can be observed reflects poor living condition Soweto East, Kibera.



Figure 4.5: Example of a house built with stone walls



Figure 4.6: Brick houses being built



Figure 4.7: Houses with mud and iron sheet walls

4.4.3 Nature of the floor

The respondents were asked what the nature of their floor was, with options including concrete, wood, earth or other. The findings are presented below.

Table 4.7: Nature of the floor

	Frequency	Percent
Concrete	146	55.3%
Wood	47	17.8%
Earthen	71	26.9%
Total	264	100.0%

The above table 4.8 shows that 55.3% of the respondents reported that the floor in their house was concrete, 26.9% reported that the floor was earthen and 17.8% indicated the floor was wooden suspended above the ground. Again this is a reflection of poor housing condition.

4.4.4 Source of water

The researcher asked the respondents what their main source of water was. The answers are presented below.

Table 4.8: Source of water

	Frequency	Percent
Piped water in the house	3	1.1%
Yard tap	198	75.0%
Well/river	8	3.0%
Water vendors	40	15.2%
Rain water	15	5.7%
Total	264	100.0%

Table 4.9 shows that the majority (75%) of the respondents' main source of water for their household was a yard tap, 15.2% of the respondents indicated water vendors were their main source of water, 5.7% and 3% of those sampled indicated rain water and well/river respectively. The minority (1.1%) indicated they received piped water in the house.

4.4.5 Distance of the watering point

The respondents were further asked how far from their house the watering point was. Their answers were categorized into the following: less than 50m, between 50 and 100m, 101m to 150m, 151m to 200m and more than 200m away. The results are shown below.

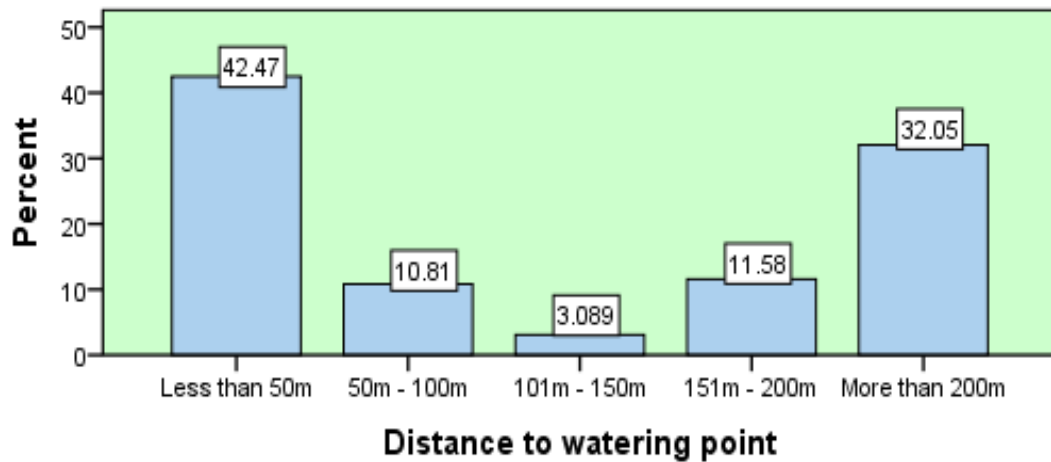


Figure 4.8: Distance to watering point

Figure 4.8 reveals that the majority (42.47%) of the respondents accessed their watering point less than 50m from their house and 32.05%, by contrast, had their watering point more than 200m away. 11.58% and 10.81% indicated their watering point was 151m to 200m and 50m to 100m respectively. Only about 3.09% had their watering point between 101m and 150m away from their house.

4.4.6 Cost of water

The researcher asked the respondents how much they pay for water. The answers were categorized as follows: 0 to 5Ksh, 6Ksh to 10Ksh, 11Ksh to 15Ksh, 16Ksh to 20Ksh and more than 20Ksh. The results are shown below.

Table 4.9: Cost of water

	Frequency	Percent
0 - Ksh 5	228	86.4%
Ksh 6 - Ksh 10	6	2.3%
Ksh 16 - Ksh 20	8	3.0%
Not filled	22	8.3%
Total	264	100.0%

As shown in table 4.10 the majority (86.4%) of the respondents paid 5Ksh or less for water. In particular, many of the 86.4% indicated they didn't pay for water, while others indicated that they pay 3Ksh or 5Ksh per 20 litres. A combined 5.3% indicated that they pay between 6 to 20Ksh. No respondent sampled reported paying more than 20Ksh for water.

The implication of the above findings on water source is that residents of Soweto East Village of Kibera did not have reliable, accessible and clean water.

4.4.7 Type of toilet used by household

The respondents were asked to indicate the type of toilet that serves their household. The responses are presented below.

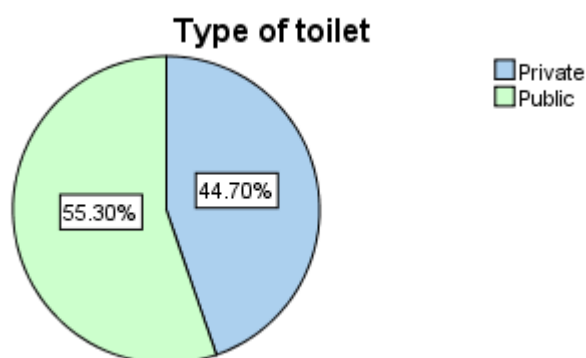


Figure 4.9: Type of toilet serving the household

Majority (55.3%) of the total population sampled reported that public toilets serve their household while 44.7% indicated their households are served by private toilets as presented in figure 4.9. A number of respondents, however, indicated that they use both public and private toilets.



Figure 4.10: A block of public toilets used in the slums

4.4.8 Whether the respondent pays to use public toilets

For the respondents who indicated that their households were served by public toilets (55.3%), the researcher further asked them whether they pay to use the toilets. Their answers are presented below.

Table 4.10: Whether the respondent pays to use public toilets

	Frequency	Percent
Yes	146	100.0%
No	0	0.0%
Total	146	100.0%

From the table 4.11 above it can be seen that all the respondents who use public toilets are required to pay a fee.

4.4.9 Cost of public toilets

The respondents who pay to use the public toilet that serves their household were further asked to indicate how much it cost. Their answers were categorized as follows: 5Ksh and below, 6 to 10Ksh, 11 to 15Ksh, 16 to 20Ksh and more than 20Ksh. Their responses are presented below.

Table 4.11: Cost of Public Toilet

	Frequency	Percent
5Ksh and below	39	26.71%
Ksh 6 - Ksh 10	99	67.81%
More than 20Ksh	8	5.48%
Total	146	100.0%

Table 4.12 shows the majority (67.81%) of the respondents who used public toilets paid between 6Ksh and 10Ksh to use them, with most of the respondents indicating they paid 10Ksh in particular. 26.71% said they pay 5Ksh or below, with most of them indicating that they paid 5Ksh in particular. Only 5.48% of respondents sampled reported paying more than 20Ksh.

From the above finding on toiletry, we can infer that, pay-as-you-use the toilets is an indication of unreliable sanitary access, which implies poor provision of sanitary facilities which may in turn compromise overall sanitation of the village.

4.4.10 Mode of waste disposal

The researcher asked the respondents to indicate the mode of waste disposal for their household. Below were their responses.

Table 4.12: Mode of waste Disposal

	Frequency	Percent
Landfills	102	38.6%
Open spaces	132	50.0%
Dustbins	30	11.4%
Total	264	100.0%

As shown in table 4.13 the majority (50%) of the respondents reported that they dispose of their waste in open spaces, 38.6% indicated that they use landfills and the minority (11.4%) use dustbins. This indicates that majority of the residents in the area do not have proper waste disposal facilities and this leads to the unsanitary living conditions

that a large number of respondents mentioned as the main reason they are not comfortable with living in the area.



Figure 4.11: A landfill used for waste disposal

4.4.11 Personnel in charge of waste collection

The respondents were asked to indicate who was in charge of waste collection. The responses are presented below.

Table 4.13: In charge of water collection

	Frequency	Percent
City council	182	68.9%
Community based organizations	73	27.7%
Private collectors	9	3.4%
Total	264	100.0%

Table 4.14 shows that the city council is in charge of collecting that waste from majority (68.9%) of the households. 27.7% of the respondents indicated that community based organizations collect the waste from their household while the minority (3.4%) of the respondents indicated private collectors.

The above findings on waste disposal were consistent with earlier finding on living conditions of residents of Soweto East Village of Kibera. The findings indicated that were poor modes of waste disposal which have implication on the sanitary and overall health conditions.

4.4.12 Source of lighting in the house

The researcher asked the respondents to indicate the main source of lighting in their house. The findings are presented below.

Table 4.14: Source of lighting

	Frequency	Percent
Electricity	245	92.8%
Solar energy	6	2.3%
Paraffin	8	3.0%
Candle	5	1.9%
Total	264	100.0%

As shown in table 4.15 the majority (92.8%) of the respondents indicated that electricity was the main source of lighting in the house, 3% indicated paraffin, 2.3% solar energy and the minority (1.9%) indicated candle as their main source of lighting. It can be seen that the government has ensured that the area is well connected with electricity despite it being a relatively low income area.

4.4.13 Type of electricity connection

The respondents were asked to indicate the type of electricity connection in their house. The options were formal, informal or none. The responses are presented below.

Table 4.15: Type of electricity connection

	Frequency	Percent
Formal	173	65.5%
Informal	76	28.8%
None	15	5.7%
Total	264	100.0%

Table 4.16 shows that the majority (65.5%) of the respondents indicated that the electricity connection in their house was formal while 28.8% of the respondents indicated that they had an informal electricity connection.



Figure 4.12: Electricity connection in the slum

What emerges from the above was that access to power was inadequate and dangerous due illegal connection.

4.4.14 whether the respondent has school going children

The researcher asked the respondents whether they have school going children. The findings are presented below.

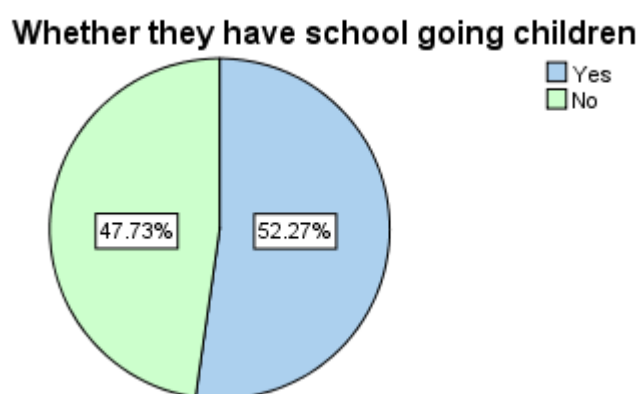


Figure 4.13: Whether they have school going Children

Majority (52.27%) of the respondents sampled reported having school going children while 47.73% indicated that they do not have school going children as presented in figure 4.13 above.

4.4.15 Type of school

The respondents who reported having school going children were further requested to indicate which type of school it was, options including public or private. The results are shown below.

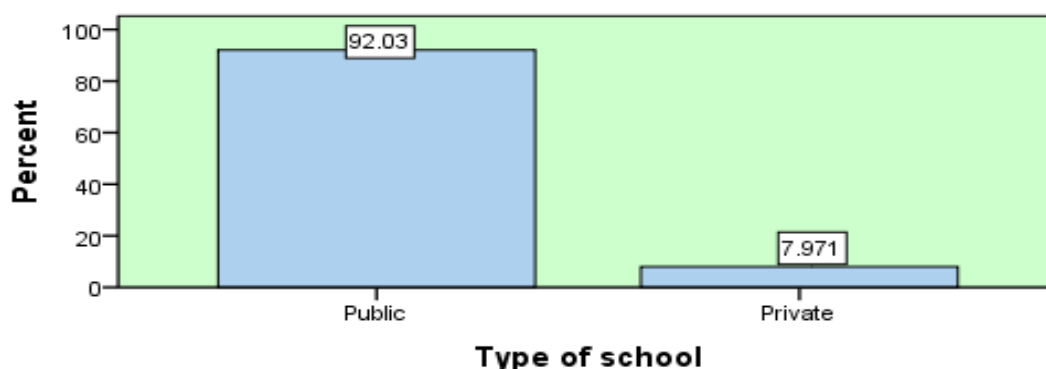


Figure 4.14: Type of school

Figure 4.14 reveals that majority (92.03%) of respondents with school going children enrolled them in public schools and only about 7.9% enrolled their children in private schools.

4.4.16 Quality of health care services

The respondents were asked to rate the quality of health care services in Soweto East over the past years. Their responses are shown below.

Table 4.16: Quality of health care services

	Frequency	Percent
Has improved	187	70.8%
No change	52	19.7%
Has deteriorated	22	8.3%
Not filled	3	1.1%
Total	264	100.0%

As shown in table 4.17 the majority (70.8%) of the respondents were of the opinion that the quality of health care services in Soweto East had improved over the years, 19.7% indicated that they saw no change and the minority (8.3%) were of the view that the health care services had deteriorated over the years.

4.4.17 State of road network

The researcher wanted to know the opinion of the respondents concerning the state of road network. Below were their responses.

Table 4.17: State of road network

	Frequency	Percent
Very good	6	2.3%
Good	80	30.3%
Fair	44	16.7%
Poor	130	49.2%
Not filled	4	1.5%
Total	264	100.0%

As seen in table 4.18 the state of road network in the area is poor, as reported by majority (49.2%) of the respondents. 30.3% of those sampled, by contrast, reported that the state of road network in the area is good, while 16.7% and 2.3% reported that the state of road network is fair and very good respectively.

4.4.18 Nature of security

Respondents were asked to indicate the state of the neighbourhood security. Below were their opinions.

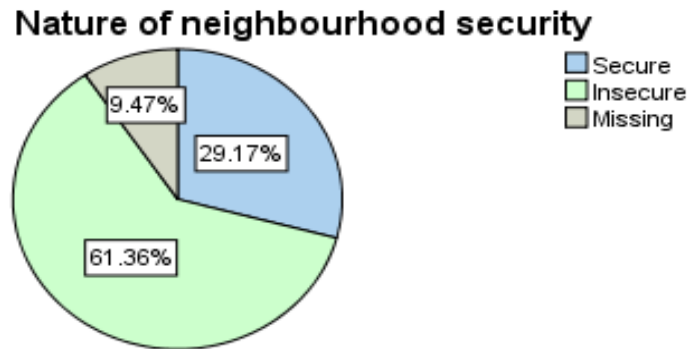


Figure 4.15: The nature of the neighborhood security

As shown in figure 4.15 the majority (61.36%) of the respondents felt that the neighbourhood is insecure while 29.17% felt secure in the area. This is consistent with the large number of respondents who cited insecurity as the main reason they are not comfortable with living in the area.

4.4.19: Knowledge of the landlord

Respondents were asked whether they knew their landlord. Below are the results.

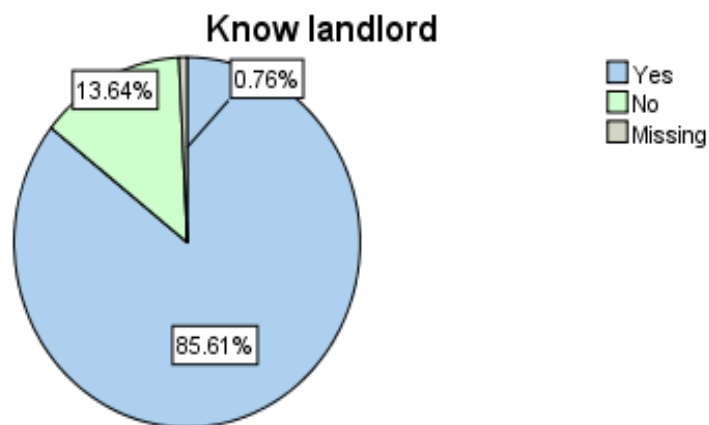


Figure 4.16: Knowledge of the landlord

From the above figure 4.16 it can be seen that at 85.61% an overwhelming majority of the respondents know who their landlord is. Only 13.64% do not know who their landlord is, while 0.76% failed to indicate yes or no.

4.4.20 Duration lived in the area

The respondents were asked to indicate how long they have lived in the area, their responses were recorded as shown below.

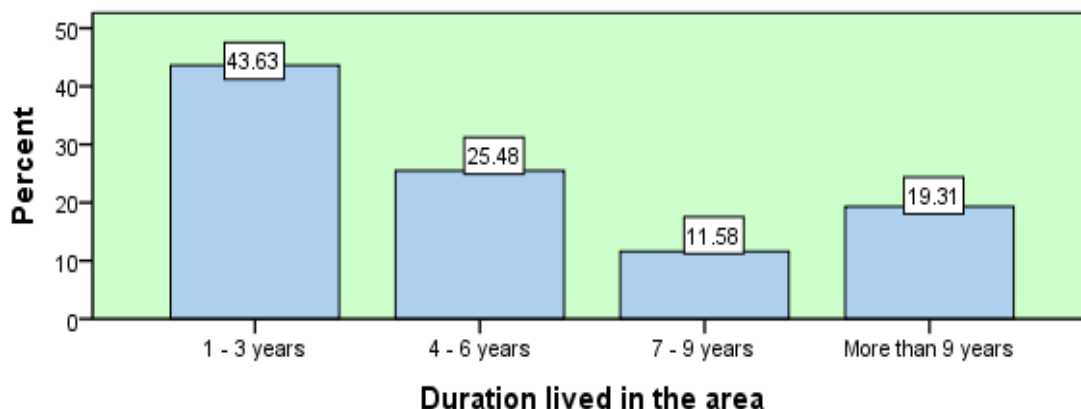


Figure 4.17: Duration lived in the area

The majority of the respondents, 43.63%, reported that they have lived in the area for a period of between 1 and 3 years, 25.48% revealed that they have lived in the area for 4 to 6 years, those who have lived for a duration of between 7 to 9 years represented 11.58% and finally 19.31% reported having lived in the area for more than 9 years as presented in figure 4.17. It can therefore be seen that majority of the respondents surveyed were fairly new to the area, which may be attributed to majority of them being youth who may have recently moved into the area after moving out of their parents' homes.

4.4.21 whether the respondent is comfortable living in the Soweto East Village

The respondents were asked whether they are comfortable with living in the area, their responses were recorded as shown below.

Table 4.18: Comfortable living in Soweto East

	Frequency	Percent
Yes	154	58.3%
No	107	40.5%
Not filled	3	1.1%
Total	264	100.0%

Table 4.19 shows that the majority of the respondents 58.3%, were comfortable with living in the Soweto East Village, however a close 40.5% felt that they were not comfortable. Many of those who felt comfortable gave reasons such as a cheap cost of living, being used to the area after growing up in the area or living in the area for a long period and having many other family members living in the area. Those who indicated they were not comfortable cited reasons such as insecurity and unsanitary living conditions.



Figure 4.18: poor living conditions

4.4.22 whether the respondent has witnessed any upgrading projects

The researcher asked the respondents whether during their stay in Soweto East there have been any upgrading projects. Their responses are shown below.

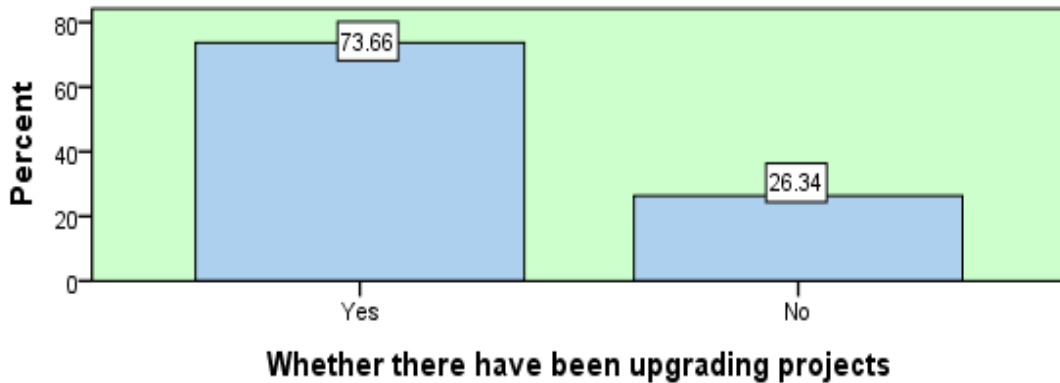


Figure 4.19: Whether there have been upgrading Project

As presented in figure 4.19 the majority (73.66%) of the respondents have witnessed upgrading projects during their stay in the area while 26.34% indicated there have been none during their stay in Soweto East. Most of the respondents who reported knowing about upgrading projects during their stay mentioned the slum upgrading project, while others mentioned the construction of schools, libraries, health centres and roads. Others reported that a number of NGOs initiated projects to provide water to the communities in the area. However it can be seen that quite a number of respondents were ignorant or lacked information about the upgrading projects in the area, which may have presented a challenge to the projects.

From the foregoing analysis reflect poor living conditions in Soweto East village characterised by poor housing, sanitation, inadequate clean water, and poor infrastructure, limited access reliable source of energy, education and health facilities.

4.5 Integration of community participation in the implementation strategies of the National Youth Service (NYS) Upgrading Initiative in Soweto East Village Kibera

Objective two of this study was explore how implementation strategies of the National Youth Service (NYS) Upgrading Initiative incorporated community participation in Soweto East Village Kibera. As stated earlier, the initiative for slum upgrading was in response to conditions in slum settlements. As indicated earlier, the human conditions

are adverse and even the social well-being. Living conditions in slum dwellings are characterised by inadequacy or absence of necessities services such as water, health services, sanitation, security or electricity, and roads. These situations are made worse by high rate of low income level. The second objective therefore focused on the initiatives by the NYS as a way of responding to the above conditions.

The study investigated strategies employed in the upgrading Soweto east in Kibera, this information will be important to help us assess how recipients participated in the initiatives. In other words we sought to find out what was done and how the residents were involved in the initiative under consideration. The initiative was designed by the ministry of devolution, and was to be implemented by the NYS. Therefore, this we rely on pieces of information from policy documents and information gathered through interview on the relevant responded.

4.5.1 The overall goals of the NYS slum upgrading initiative

In 2013, President Uhuru Kenyatta re-launched the NYS. In 2014, a programme for the NYS under the Ministry of Devolution and Planning was initiated, conceived as Slum Upgrading Initiative. The Kibera Slum Upgrading initiative was one of the initiates for upgrading the various slums in Nairobi. The National Youth Service was originally established in 1964 under Cap 208 of the National Law of Kenya. Its aim was to help in the discovery and nurturing of potentials of the youth. The NYS slum upgrading initiative had three constitute components which formed its goals, namely, the youth employment and micro-businesses, road construction, and sanitation including household rubbish collection, drainage cleaning, and construction of sewerage and ablution blocks (Kokoyo, 2016).

During a Key Informant interview (KII), the researcher spoke to a respondent who outlined some of the goals of Kibera Slum Upgrading initiative under the NYS, namely, ‘to install social amenities, rehabilitate or built physical infrastructure, such as roads, sewerage, water, drainage and street lighting as well favourable facilities for the physically challenged persons, building of educational institutions, community employment by engaging the residents in the work-done by the NYS and micro-

economic activities.’ (NYS official 1, personal communication, January 2018). This was corroborated by resident respondents (Cohort leader1, personal communication, January 2018) who participated in this research.

According to the respondent, ‘the main goals of the NYS slum upgrading initiative was to provide access to clean water, improved housing conditions, basic amenities, technical skill among the youth and improved drainage for proper sanitation.’ The manner these goals were realized formed the second of objective of this study as already mentioned.

4.5.2 The youth employment and micro-businesses

From the study it emerged that the NYS Slum upgrading initiatives was economic empowerment of the youth. The researcher sought to explore the activities that were undertaken in order to enhance economic wellbeing of the youth in Soweto East village, in Kibera. It emerged the programme brought about job opportunities to the youth in the area through involving them in the slum upgrading activities from which the youth got earning. The youth were also exposed to opportunities to develop their technical skills. One respondent who participated in the activities observed that,

Some of us worked in this programme from the time it was initiated to the point it suddenly ended. Those who stopped did so either because they got better opportunities, were going to colleges or they were not well then. If the project had not ended the youth would have continued working. Some of the youth who trained really trained under NYS (Resident 1, personal communication, January 2018).

This goal was particularly achieved through activities such as road construction, collection of garbage, clearing of block drainages, construction of sewer line as well as supporting micro-enterprises. The youth who worked under the NYS received KES 1,650 per week.

Apart from employment opportunities, loans were given through to some of the residents who had registered according to the programme. A Cohort leader from kwa DC area in Soweto East village, (personal communication, January 2018) observed that,

NYS Slum upgrading initiative mobilized the youth to form SACCOs which were owned and managed by their members and from which the members would obtain loans. This initiative had the goal of training inculcating in the youth the culture and discipline of saving and managing their finances. The SACCOs became platforms for youth to support each other mobilizing their economic potentials, and supporting one another in dealing with their situation.

Slum-upgrading initiative allowed youth empowerment by forming groups. Mostly the groups would be constituted by members largely from same village. Group members usually came from diverse ethnic groups living in Kibera, Soweto East Village. The group members were to be the ones working in their various projects such as road construction, waste cleaning and water which contributed to the strengthening their bonds.

The respondents that the researcher spoke to observed that NYS initiative brought about far reaching benefits to communities apart from the direct economic advantages. Respondent indicated that the initiative helped in reducing the levels of crime and insecurity. According to a respondent,

The NYS programme was a good thing because it not only improved in livelihood, but because crime went down during that period when the youth were working the projects (Resident 2, personal communication, January 2018).

Another respondent who the researcher spoke to, observed that,

Due to the NYS initiatives, the levels of crimes and insecurity went down due to the fact that most you were now engaged in income generating activities. The reason why slum dwellings are known to be insecure with high levels of crime rates is because many who dwell in these settlements are poor. Majority of them the youth active, and energetic but cannot find work (Resident 3, personal communication, January 2018).

It emerged from the interviews that the involvement of the youths in various activities kept them not only earning but also too busy to engage in criminal. This opinion was supported by another respondent in a FGD who remarked that,

At the end of a long day working, you would be too tired to do anything else that would hurt others, but at the same times you would have some cash in the pocket for survival that would make you not yearn for other people's money or property. Some of young people engage in crimes because they are at the very low levels of human survival (FGD 1 participants, personal communication, January 2018).

The programme brought harmony in the community since young people from various communities worked together. Here again we can note that the focus on youth employment and micro-businesses can implicitly be interpreted as community inclusion.

4.5.3 The improvement of educational and technical skill of the youth in Kibera under the NYS slum upgrading initiative

The researcher sought to find out how the initiative aimed at improving educational skills of the youth under NYS slum upgrading initiative. The researcher found out the NYS initiative contributed to education and technical skills development among the Youth in Soweto East village in Kibera. The youth were trained in technical areas such as plumbing, masonry, building construction, carpentry, electricals, welding (Cohort leader 2, personal communication, January 2018). Basic education was also improved. Improved infrastructures and general sanitation within and around school setups made it easier for the children to access schools. Respondents also noted that the NYS initiative help with construction and renovation of schools.

According to another respondent, technical education was an important contribution to the initiative improved and market oriented technical skills meant that the young slum dwellers were employable while many of the trained youth were able to take part in self-employment (Ministry of Public Service, Youth and Gender official 1, January 2018). The element of education was relevant in this analysis because education and

technical skills are significant aspect of economic and social well-being and ultimately poverty reductions. Education is critical issues among children and youth in Kibera slum, like in any other slum dwellings. Lack of educational facilities in slum dwellings was worsened by prevailing conditions including lack of jobs, family congestions in small houses, substance and alcohol abuse, and unavailability of schools and leisure facilities. Macharia (2007) noted that urban informal settlements were conceived from a position of disadvantage, with non-existent or very limited general amenities, poor schools (if any) and a general lack of resources. Incorporating education including technical skills development as part of slum upgrading can be broadly interpreted as community inclusion in the initiative.

4.5.4 NYS upgrading, social cohesion and resilience

What emerges from the foregoing is that slum grading is not merely about infrastructures but societies as well. Experiences show that informal settlements are some the socially inhabitable due to insecurity, criminality and inter-group conflicts. Slum upgrading programmes go beyond mere physical structures and environments. Social environment is a key aspect of transformation including social, security and economic wellbeing of the people (Yeboah et al. 2021).

The study sought to find out how the NYS contributed to the building community resilience through social capital. It emerged from the study that resilience building can be enhanced through social capital. As was indicative from the study, a slum upgrading has the potential of enhancing resilience and social cohesion through social capital. By resilience we understand the capacity of societies including households and individuals recover and adapt changes in the aftermath of calamities (IARWG, 2012).

Slum upgrading initiatives can contribute to social cohesion and social capital which in turn can contribute to resilience among members of a given society. The NYS project brought residents together, in working and in the formation of Savings and Credit Cooperative Organisations (SACCOs). It emerged from FGDs that these SACCOs,

apart from helping the youth to save and access credit facilities, also helped in enhancing social cohesion and socioeconomic networks among members.

An official from the Ministry of Devolution and National Planning who was involved in the initiative planning and implementation noted that,

By being engaged in the NYS initiatives, and membership to SACCOs the youth could cooperatively and collectively respond to their challenges. They would share business ideas, get business connections, and job opportunities through their social networks as well identify their collective problems and how to respond to them. Slum-upgrading efforts that enable youth empowerment through such group formation, cooperation and trust building have the potential to strengthen the social capital of members. (Ministry of Devolution and National Planning official 1, January 2018)

Under NYS initiative, youth groups working in the project were drawn from different communities within the village which enhanced bonding and social capital. Moreover, works on infrastructure introduced (road, water and sewerage) required meant going around and across several villages. This meant bringing youths and residents together from across communities thereby increasing the level of social cohesion and integration. (Ministry of Public Service, Youth and Gender official 2, January 2018). The key respondent added that;

Social cohesion contains within itself the element of inclusion and participation. Where social cohesion is the goal, then implicitly we have belonging, participation, and recognition diverse cadres of the society. The aim would be a community in which members work together towards collective goals and where each member feels valued and has something to contribute to the overall wellbeing of that society. (Ministry of Public Service, Youth and Gender official 2, January 2018)

Social cohesion is conceived as mediating variables in the link between risk, slum upgrading and resilience. Strong bonds which are a mark of social cohesion within and

between communities, and between communities and governance providers are important for resilience and sustainable peace reflecting the collective will for survival and prosperity (Boer et al, 2016 and Stanley, 2003). The working together among member of the community in the process of slum upgrading enhances social capital for social cohesion and ultimately resilience. In this case, the NYS initiative contributed to resilience enhancing social cohesions.

Social capital is a core component of social cohesion, (OECD, 2011) which consists of networks and relationships among people that enable a community to function effectively. This contributes to community resilience by cushioning those affected by disaster, “overcoming challenges to adaptation through coordinated local processes, and enabling transformative change by strengthening the community’s collective voice” (Aldrich, 2012).

4.5.5 NYS slum upgrading initiative and reduction of Crimes

The level of crime has reduced as most youth were engaged with the activities. Most youth said that the creation of jobs has engaged most youth, there is no time to commit crime and also youth have money in their pockets, so petty crime had reduced. A significant feature of slum demography is unemployment. This is likely to lead to forms of criminal activities because of striving for survival.

The most viable way of crime prevention and reduction is through supporting small enterprise and development of skills. John (2022) also suggests that upgrading informal settlements is essential to address the environmental factors that make these areas conducive to criminal activity. This includes providing proper housing, sanitation, and adequate lighting, as well as exploring community policing strategies to strengthen cooperation between the police and residents. A resident of Soweto East mentioned that since the National Youth Service (NYS) began operations, they had positive interactions with the police, seeing them as partners in governance. The resident also noted that they no longer experienced harassment from the police, unlike before the project, when the police often viewed the youth in the slum as criminals (Resident 4,

personal communication, January 2018). NYS had factored in most of the mentioned strategies to prevent crime, through employment, Sacco's where members could take loan and improve on the small enterprise and also through upgrading of the area, however the NYS did not focus on the sustainability of the project, since as indicated earlier there was no document of any action plan for the project. The study also found that the social and economic aspect of youth was improve through the skill and income programme. Some were selected to lead the sacco's and also the cohort. This instilled some leadership skills.

4.5.6 NYS upgrading, and the improvement of sanitation

The researcher sought to find out improvement of sanitation by the NYS upgrading initiative. During the interviews in emerged that the NYS initiative organised cleaning programmes and garbage collection undertaken by the youth. The NYS also built toilets. These observations were according to one area Assistant Chief who noted that

The government had employed youths to assist in cleaning. The government through NYS made improvements in ensuring toilets are available to all. The NYS ensured that the settlement environment is clean enough.” (Assistant Chief, Personal communication, June 2024).

A resident responded indicated that;

The level of sanitation had improved as a result of the clean ups, the river that clogged as a result of garbage leading to water flowing into homes was unclogged and cases of waterborne diseases like cholera had reduced (Resident 6, personal communication, June 2024).

From the above analysis it emerges that, the NYS initiative incorporated residents of Soweto East village in the implementation of activities through engaging them in project activities like garbage collection, construction work, SACCO, urban farming among others. The question is whether the above forms of inclusion realistically constituted community participation? The subsequent section explores this element by focusing on perspectives of the resident on community participation.

4.6 Perceptions of Soweto East village residents on participation in the National Youth Service (NYS) Upgrading Initiative

The third objective was to assess the perspectives of Soweto East village residents on the National Youth Service (NYS) Upgrading Initiative. As already indicated in the previous section, members took part in various activities of the initiative. This is an indicator of participation. This particular section follows up on whether the people believed that they were adequately involved in the various facets of the project.

In this section the study sought to find out the perceptions of the residents of Soweto east Village regarding the slum upgrading project. Particularly the study explored the extent to which the people were involved. It is important to engage community in developing an upgrading initiative right from the initiation stage, planning, design, and implementation and during monitoring and evaluation. What emerges from the foregoing is the significance of consultation and involvement of residents when initiating slum upgrading projects.

We note that, there were some benefits that were acknowledged by some of the residents of Soweto East village. But can also observe that, the NYS slum upgrading initiative came to a stop in 2015 without accomplishing its goals. One of the reasons, reportedly, was ‘... lack of funds amid murmurs of discontent from officers over unpaid allowances running into millions of shillings.’ (Gumbihi, 2015). Gumbihi (2015) further notes that,

“Over the last few months, the projects have stalled after corruption allegations hit the department, forcing top ministry of Devolution and NYS bosses to resign. Former Principal Secretary Peter Mangiti and former NYS Director General Nelson Githinji are in court. Payments of cohorts stopped, promoting protests. Recently, NYS field personal downed tools demanding to be paid accrued allowances.”

The question of corruption and embezzlement of funds and well as the halting of the initiative without any mitigating measures raise a fundamental question as to whether

the initiative was really meant to benefit the residents. A study by Kiyu (2014) reveals critical factors that undermine successful slum upgrade initiatives in Kenya. The study indicates that interest politics, businesses, and NGOs affected implementation of the upgrading projects. The study by Kiyu (2014) highlights the main impediments to successful slum upgrading, including poverty, corruption, tribalism, politicization interpretation of the project goal, bureaucracy, slum oriented business (jadogo economy) as well as NGOs activity and youth unemployment. Based on these observations, in this section, the researcher sought to interrogate if community participation could be the key to unlocking some of these complexities that may have impeded the success of the NYS slum upgrading initiatives. The assumption is that, if the beneficiaries participated in a slum upgrading project from its inception through implementation to its end, then some of these challenges would be to a greater degree minimized. The following analytical categories emerged, namely involvement in the project at the planning stage; Participation during implementation stage; the question of vested interests and their implications on the outcomes of slum upgrading, and the problem of relocation

4.6.1 Involvement in the project at the planning stage

The researcher asked the respondents if they were aware of project at the planning stage. Most of the respondents noted that they were not aware of the initiative before it was introduced. According to findings, 80% indicated that they were not aware, 12% indicated that they were aware while 8% were non-committal. The findings are shown in figure 4.20 below.

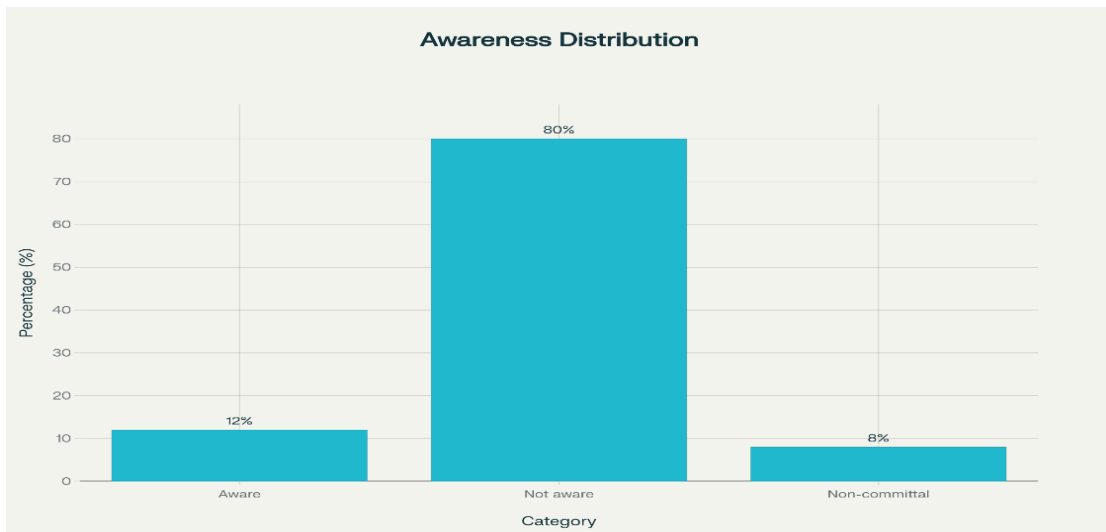


Figure 4.20: Involvement in the project at the planning stage

In a focused group interview (FGD), one of the respondents noted that

What we are aware of is that there were so many projects for upgrading Kibera slums before the introduction of the NYS slum upgrading initiative. However there was no prior information given to members before it was launched. We learned from the media when President Uhuru Kenyan announced that the government through the NYS would construct 12 police posts, 12 ablution blocks, posho mills, sack garden, dispensaries and create jobs for the local youth in Kibera, Mukuru and Korogocho (FGD 2 participants, Personal communication, June 2024).

Another participant in the FGD observed that

Although the people benefitted from the period the project was on, it would have been more successful if the initiators had consulted with the residents how they would have wished the project to be done, learning from the previous failed project. But here the initiators do not learn from the past. The past projects really disrupted people lives they involved eviction. Did this project start by assuring the people that their lives and businesses would not be demolished? If they had planned with the people before, then those evictions and conflict

between NYS personnel would not have occurred (FGD 2 participant, Personal communication, June 2024).

The researcher spoke to some of those from the ministry of devolution and planning, who were directly involved in the project. It emerged that there was no clear distinct paper that guided the initiative. The ministry of devolution and planning was the implementing agency through the activities of the NYS. The Ministry was guided by the goal of providing affordable housing units and to improve the lives of people living in the urban informal settlements.

What emerges is that there was no contextualised project framework articulating the project rationale, goal and implementation. This being the case, the people involvement in the project inception does not arise. This could be the reason why there seemed to have been poor coordination among the agencies responsible with upgrading of the informal settlement.

One participant observed that, the stalling of the project brought more harm than good. The NYS initiative had raised expectations. Moreover, the projects would mean displacement of existing service providers. Some of the initiatives became white elephant projects as crime rates also persisted. These young people had gotten some income, stopping the initiative affected those who had become used to earning income. Taking away their source of income meant demoralizing them and some of them resorting to criminal acts.

During field research, there were voices questioning the intention of the initiators of the project. When NYS project stalled in 2015, plagued with allegation of corruption with financial irregularities, the residents raised question about the intention of the initiative. One respondent noted that,

The intention was really not to improve conditions of the slum dwellers but as conduit to siphon tax payers' money in the name of slum upgrading. This initiative had given our youth so much hope. But now they have become sceptical of government initiatives in the area. This was just like the previous projects in Kibera which have been implemented but the situation remains the

same (Community Based organisation official 1, personal communication, January 2018).

In a follow up interview it emerged that the resident were involved in the initial stage where they were involved in mapping out areas that needed improvement. The previous section of this chapter also indicates that the people were involved through by engaging them in the projects as already indicated. However a key informant from the community stated that the

The idea from the government was excellent, however it lacked proper coordination and the community was left out especially at the follow up phase up to implementation. The responded further added that as a result of that gap when the imitative was implemented they realized that there was no free space left to build some planned facilities like dispensary, police posts and halls. He expressed his disappointment that the success of the project was minimal due to lack of coordination between the government, the community and relevant agencies for guidance on the implementation (Local politician, personal communication, January 2018)

The failure to involve the people in the initial inception of the project emerged strong from the voice of those who were interview. A responded from the community stated that they were not involved in setting priorities.

It was wrong for the government to assume that there were no existing services such as health, water, sanitation points and education. Those services are there only that they need improvement and not clearing land or displacing people to build new facilities. The toilets need to be connected to main sewer line while the private clinic that are not registered, should be registered and ensure that they are run by professional. Electricity should also be connected legally. The NYS cohort ended up unblocking drainage, garbage collection and cleaning up of the street which left the Kibera situation remain just the way it has always been (Local politician, personal communication, January2018).

Highlighting the failure to involve the community in the inception stages, another respondent observed that,

The first mistake was the government to assume there was free space within the village that will give way to improvement of infrastructure. This led to conflict between the NYS cohort working in Soweto and the community, in some cases it turned out ugly because there were displacements, so as to create space for construction and the NYS did not have a clear strategy of relocation or compensation for the family (Youth leader 1, personal communication, January 2018)

As indicated earlier the goal of the initiative was to empower the youth through upgrading activities, however most of the activities laid out never got to take place especially the construction of buildings. A respondent from the cohort indicated that the moment the land was cleared for construction a mysterious owner would appear. There were no free spaces for construction or even relocation the initiative. This brought about resistance and therefore the cohort ended up unblocking the drainage and cleaning up the streets (Cohort leader 2. Personal Communication, January 2018).

Most respondents indicated that the project was planned and implemented without effective and adequate consultation, therefore they were not aware of relocation and compensation due to the disruption. Data collected indicated that a number of residents were comfortable living in the area. They stressed that relocation would have a negative impact on their social-economic life. Most cited that relocation would make them lose friends and neighbours, others indicated that they will lose their business and customers, and others were not ready to begin life in a new environment (FGD 1 participants, Personal communication, January 2018).

4.6.2 Participation in the implementation of the project

The respondents were asked whether they felt that they were involved in the slum upgrading project after the project was initiated. Below are the findings. 65.63% indicated that they were involved, while 34.38% indicated that they had not been involved. The findings are indicated in the figure below.

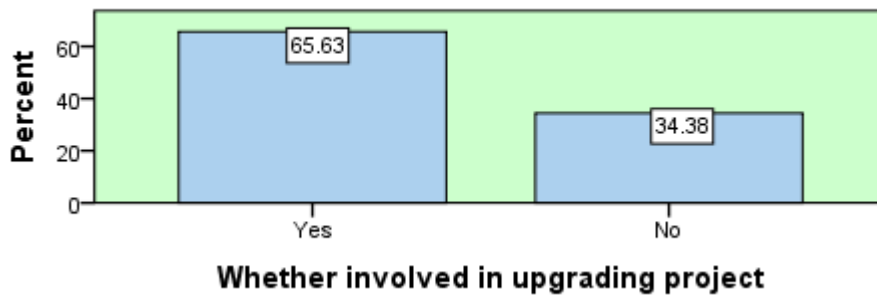


Figure 4.21: Do you feel you have been involved in the slum upgrading project?

According to the figure above, the majority of the people agreed that they participated in the implementation of the project. By participation, according to findings, meant working in the various initiatives of the NYS project such as garbage collection, sewerage clearance, construction among others as indicated earlier in this chapter. In the study it is indicated that a high percentage of the respondents felt included in the project.

A number of respondents acknowledged that the initiative positively impacted their lives. A respondent said that the project changed his life and that of his family that he was making money to support the family, pay rent and afford decent meals. A respondent noted that ‘I could earn at least four hundred and fifty Kenyan Shillings (KES 450) daily that was paid weekly, even if the money sometimes delayed it was assured to be received through M-pesa’ (FGD 1 Participants, personal communication, January 2018).

However, some critical voices noted that involving some of the people by employing them did not amount to adequate participation. A respondent from the community remarked that

The project was a good idea, however engaging them in the activities or employing them to undertake the activities does not amount to community participation, because they were not involved in the planning stage they did not even have an opportunity to negotiate on the amount to be compensated.

Employment of the youth is only tokenism, to make people forget their everyday miseries (Resident 5, personal communication, January 2018).

4.6.3 The question of vested interests and their implications on the outcomes of slum upgrading

Opinion of experts, practitioners and residents the researcher spoke with revealed what we can analytically refer to as political economy of informal settlements. By this we mean the economic and political underpinnings of informal settlement which may in turn have implications of receptivity to slum upgrading initiatives. As it emerged from the study, these informal settlements are characterised by various economic and political interests of various actors. Management of day to day affairs in slums is multi-layered. This is in the sense that there community leaders, governmental administration such as chief and sub-chief who either work distinctly or in collaboration. Where official authority is lacking, thereby creating gap in the dispensation of public service, the informal actors occupy the gap in public service dispensation. These emerging leaders pursue their own desires as they claim to take the role of leadership in service delivery and governance for the informal residents. Political elites matter to informal settlement residents. Where there is diversity of competing political and economic interest residents collaborate with these informal elites for their interest (Ouma et al 2024). This observation is important because it exposes the question on how and whether various slum upgrading initiatives do acknowledge the relevance of such power formations. Informal settlements may have relevance for the electoral success of city elites, who try to win votes by try to claim to fight for the improvement of conditions of residents of informal settlements. These political elites, in a number of cases, take advantage of susceptibilities associated with slum sentiments, manipulating populations as voting resources in order to control electoral landscape (Ouma et al 2024). Whereas the informal settlements may have not been deliberately constructed for such political purposes, they remain instrumental accordingly. In so far as they settlements are instrumental as a political capital, the persistence of such situations are desirable for the politician.

According a respondent, a development expert,

Informality is an industry. People take advantage of the prevailing situation such as Kibera and turn them into opportunities. Those who benefit from such disorder become a significant interest group whose interest needs to be managed.’ (Ministry of Public, Service, Youth and Gender Affairs official 1, personal communication, January 2018).

According to another respondent, a local politician,

Informal settlements form a political constituency. Slum upgrading is likely to disrupt settlements, displace people, and the politician is likely to lose voters. They will therefore frustrate the process (Local politician, personal communication, January 2018).

On the same subject, a community based personnel 1, observed that (personal communication, January 2018) the initiative was a good thing except that the community was not well informed about it. This is why at its initial stages, the programme met with reliance given this an opposition zone and ODM party members felt that the intention was to infiltrate its vote reach region. There were fears among the opposition leadership that the involvement of the NYS was aimed at buying votes. People came to appreciate the NYS initiatives after seeing its positive impact.

The respondent also noted that,

Private developer had invested in education, health, water and sanitation points to fill gap created by the limited state intervention. There were also self-help group that had formed. Activities such as urban farming, selling water, and cabbage management were had been initiated by the residents. Did the NYS projects synchronize with or disrupted the existing initiatives. And if they did not, how did this help the community. For instance the health centres are there but are either not registered or managed by quacks, while illegal power connections abound (community based official 1, personal communication, January 2018).

The NYS Initiative would have been useful if it established connections with already existing services providers in poor neighbourhoods by either improving their capacity to offer quality and affordable services to the urban poor or by trying to create an enabling environment for slum entrepreneurs to be part of formal and legal business entities. It is a mistake to assume that there are no service providers within poor neighbourhoods.

4.6.4 The problems of relocation and dislocation

The question of resettlement is very key to a successful slum upgrading initiative. One respondent observed that, People are always worried about where they would go when dislocation occurs to create room for the upgrading most of these residents have businesses which would be disrupted. They have school going children. They are poor people who have established some survival mechanism. Slum upgrading is a good thing, but the mode of relocation is very significant. Here in Kibera most residents do not have legitimate ownership of the land on where their houses are built. Even landlords do not have proper papers for their properties. These scenarios invoke fear when slum upgrading programmes are initiated. It is therefore important to involve the people in the entire process. Beneficiaries' ideas can add value to a successful outcome (Community Based organisation official 2, personal communication, January 2018).

Instead of relocation, the government can acquire land somewhere else, build and relocate the people once the houses are already built. The people can as well be given some money to find their own appropriate relocation. In this case people should be involved for better outcomes.

The respondent also highlighted social implications of relocation, noting that,

The slum settlements have evolved into communities in which people have built community relationships and developed social bonds. Some of these members have developed social capital and social networks based on mutual trusts and shared conditions. Some of them are members of *chamas*. These *chamas* are forced to collapse

due to relocation (Community Based organisation official 2, personal communication, January 2018).

When you relocate us, we lose friends as well as members of our chammas. When we go to a new place where you don't have friends, life becomes very difficult. Here in Kibera even if you don't have money to buy sugar, you can go to the shopkeeper who knows you and he will give you on credit and you pay later. Life in a new place is just difficult (youth leader 1, personal communication, January 2018)

Slums conditions therein are because the government has not made it possible for people live decent lives. Informal settlements are a way people filling the gap of omission by the state. By constructing the informal structure in non-planned and non-governed spaces, the people are, in effect, making up for government's omission. The implication is that, where there informality or irregularity, any regularization or upgrading, obviously will disrupt people's lives. For example in the informal settlements, land tenure is not clear. When houses are built, who has the entitlement? For that reason, if upgrading may mean losing a house, better we retain the informal shanties. In this respect, consultative meetings with people would a positive endeavor as it pays the role managing people's fears (Ministry of Public, Service, Youth and Gender Affairs official 1, personal communication, January 2018).

The question of land ownership is key in slum upgrading. It emerged from the interviews that, NYS project did take into consideration this particular element. One respondent remarked that,

It would really make sense those houses being upgraded belonged to those who reside in them. Residents were evicted involuntarily which created animosity and confrontation between the NYS and the resident communities. This led to evictions of unwilling residents thereby creating bad blood between NYS personnel and local community members. The NYS said that they were only following instructions from above. Those who lost their premises did not receive

compensation (Community Based organisation official 2, personal communication, January 2018).

The above experiences would have been avoided if the people would have been consulted from the inception of the initiative. Whereas some of the respondents indicated in an earlier section of this chapter indicated popular disposition toward the NYS project, the NYS project did not enjoy support among some of the residents because some of the projects such as roads displaced many business premises. This led to loss of livelihood. Instead of improving conditions of the people, they ended up destroy them. Road constructions meant displacing. Those who lost their business premises did not receive compensation (Focus Group Discussion 2 participant, personal communication, June 2025).

As mentioned earlier in this study the UN-HABITAT emphasizes that the most effective approach for housing interventions, particularly in developing countries, is participatory slum upgrading (UN-Habitat, 2003). The purpose of engaging the community is to get them by into the idea, support and also give them an allowance to negotiate with the government on the reasonable, acceptable pace and strategies of implementing the projects (“World Bank. 2021). It is difficult to implement a slum upgrading project successfully without engaging the community, because their fears, hopes and need will affect the development process which will in turn affect their lives. As mentioned earlier in this study the UN-HABITAT emphasizes that the most effective approach for housing interventions, particularly in developing countries, is participatory slum upgrading (UN-Habitat 2003).

From the foregoing, it emerges that the local community were not involved in the inception of the project which, an omission which may have affected the outcome of the project. A follow up interview with a CBO official residing in Soweto East Village (Personal Communication, June 2024) reinforced earlier findings that local community should always be the main focus in slum upgrading because they understand their neighbourhood and what is of priority depending with the challenges they are facing. This observation was further supported by another follow up interview to youth leader (Personal Communication, June 2024) who participated in the programme noted that

the NYS initiative was lacking coordination among various groups, an indication that there was no integrated community involvement. The respondent observed that, “in order to create an enabling environment for the success of an upgrading initiative there should be proper coordination among the key players involved in the upgrading of urban informal settlement.” The goal of the NYS program was to empower the youth through the upgrading activities as indicated earlier. During a follow up interview with the respondent who was an official from the Ministry of Public, Service, Youth and Gender Affairs remarked that;

The program was not sustainable and it was only meant to give the vulnerable youth an opportunity to earn daily wages for a few months, then what happens after that. To be successful project needed to incorporate a wide range of relevant stakeholders. The process should be transparent to allow accountability; proposed action plan, estimated cost, Performance measures, monitoring and evaluation and the role of the community in the project Ministry of Public, Service, Youth and Gender Affairs Official 2, Personal communication, June 2024).

The above sentiments confirm an earlier interview with one of the CBO’s representatives on whether they were involved in the planning process, the responded said that they were engage in mapping out the areas that needed upgrading (Community Based organisation Official 2, personal communication, January 2018). The responded further said that the project was good and is creating employment for the youth. The community Based organization are key and they represent the residents in forums of community rights and ensure that the community are represented fully in decision making (UN-HABITAT and the Kenya Slum Upgrading Programme, 2007)

From the foregoing, it emerges that stakeholders and beneficiaries were not adequately involved throughout the life cycle of the NYS upgrading initiative in Soweto East Village, which according a cross section of respondents, would have contributed to its sustainability.

CHAPTER FIVE: SUMMARY FINDINGS, CONCLUSION AND RECOMMENDATION

5.1 Summary

This study springs from the assumption that rapid urbanization across the world and particularly in Africa is characterized by rapid rural-urbanization movement of people which is not matched with corresponding increase in housing and related infrastructures and facilities such as roads, health facilities, schools, sewerage and sanitation as requirements of human settlements. The most affected are those who cannot afford decent accommodation resulting in informal settlements for this category of people. Kibera slum is one of these informal settlements that are environmentally, economically, and socially disengaged from wider urban systems characterized by poor living conditions with no water, drainage proper system and proper security. The question of land ownership is another major issue in this regard. There have been various initiatives for improving the conditions of these settlements in Kenya, yet the situation remains the same. In 2013, the Ministry of Devolution and National Planning initiated upgrading informal settlements under the NYS Slum Upgrading Initiative. Soweto East Village was one of the target villages in Kibera Slum for upgrading. The project however, stalled in 2015 dogged by accusation of corruption thereby raising questions about the key goal of the initiative. A corollary to this question is whether the would-be beneficiaries were involved which is key to planning, prioritizing, ownership and suitability of a project and whether this involvement would be a key link between the initiative and its successful outcome. The study was guided by the following objectives namely, to analyse the implication of informal settlements on living conditions of residents in Soweto East Village Kibera, to explore how implementation strategies of the National Youth Service (NYS) Upgrading Initiative integrated community participation in Soweto East Village Kibera and to assess the perceptions of Soweto East village residents on participation in the National Youth Service (NYS) Upgrading Initiative. Theoretical underpinning guiding this interrogation is participatory approach.

The researcher employed both quantitative and qualitative approaches for data collection to explore the extent to which the National Youth Service (NYS) Upgrading Initiative integrated community participation in the upgrading of Soweto East village in Kibera informal settlement, Nairobi County. Quantitative approach was applied to capture factors affecting living conditions of residents in Soweto East Village Kibera, the kind houses, water accessibility and provision, sanitation (waste disposal and access to toilets); electricity, educational facilities; status of roads; status of residency as well as the residents' perception of the NYS upgrading project in Soweto East village. Qualitative approach was employed to capture in depth perspectives of the people to get insights into their experiences about housing conditions, sanitation, employment, expectations on the improvement of living conditions and their perception of the strategies applied for upgrading initiative.

Quantitative data were collected through use of questionnaire, analysed through SPSS and presented in charts, tables and graphs while qualitative data were gathered through interviews, analyzed thematically and presented in narrative form. Both quantitative and qualitative data were useful in complementing each other and as such corroborative while at the same time capturing specific type of information. Data were analysed and presented according to objectives.

The study had 391 as the sample size. Out this sample size, 264 (67.01%) responded. The researcher also relied on observation whose data was collected in form of photograph and field notes. Relevant demographic data capture gender, age, levels of education were analysed and presented in terms of graphs. From the findings it emerged that male were 56% while female were 43%. In terms of age, it emerged that the majority were between 26-35 years at 51.84%. It also emerged that, the majority of the respondents were married and educated to secondary to the level. In terms of income, the majority (50%), fell between KES 5000 and 10, 000, which was an indication of low income. The low of income is in line with monthly rent over 80% pay rent of KES 1000 and below.

Objective one sought to analyze implication of informal settlement on the living conditions of residents in Soweto East Village in Kibera. The study revealed a general trend of poor housing conditions with the majority (69.23%) living in single roomed houses under squalid conditions. Most of these houses (68.9%) were mud houses with 55.3 having concrete floors while 26.9 have earth floors. On water provision, the majority (75%) get their water from yard tap. The majority, 86% buy what at KES 5 per 20 Litters jerry container. Regarding sanitary conditions, it emerged that 100% rely on paid for toilets and open space disposals. Regarding source power, the majority (75%) have access to power but from illegal connections. It emerged that human settlements in Soweto East Village is poor.

Objective two of this study was to explore how implementation strategies of the National Youth Service (NYS) Upgrading Initiative integrated community participation in Soweto East Village Kibera. The NYS initiative was in response to conditions in slum settlements with adverse effect on socioeconomic, environment and the general wellbeing of the residents. Living conditions in slum dwellings were characterised by inadequacy or absence of necessities services such as water, health services, sanitation, security or electricity, and roads as well as high level of unemployment. The objective focused on how the implementation strategies of the NYS Upgrading Initiative affected community participation as a way of responding to the above conditions.

The NYS slum upgrading initiative had three constitute components which formed its goals, namely, the youth employment and micro-businesses, road construction, and sanitation (including household rubbish collection, drainage cleaning, and construction of sewerage and ablution blocks). It emerged that the initiative improved in the human conditions of the people. From the research the initiative contributed to employment opportunities, microcredit facilities, cleaning of sewages, building of health units, connection of electricity, road construction. The initiative contributed to social cohesion, resilience, building of social capital among members and reduction of criminality. These happened until the project came to a halt in 2015 due to accusation of corruption, mismanagement and embezzlement of funds.

The third objective was to assess the perceptions of Soweto East village residents on participation in the National Youth Service (NYS) Upgrading Initiative. Particularly, the objective sought to find out the extent to which members of the community participated in the project. Findings from this study indicate that the residents of Soweto East village did not participate in inception of the initiatives. However, some of them were later involved through various activities of the NYS as mentioned above. However strong voices of respondents indicate that substantive community participation was lacking, which, according to the respondents contributed to the sudden end of the project in 2015. Voices of respondents highlighted that issues relating to relocation, vested interests, land tenure, political considerations, and lack of prioritisation of the people's needs may have affected the outcome of the project and these issues would have been positively managed had there been community participation in the project right from the planning stages.

5.2 Conclusions

The point of departure of this study was that informal settlements in urban areas, associated with rapid urbanisation and resulting housing problem, affect socioeconomic, and environmental wellbeing of persons living therein; and subsequently the relevant intervention measures aimed at improving these conditions. These intervention measures are, in this research, referred to as slum upgrading initiatives. While these upgrading programmes are essentially desirable for improving living conditions of the inhabitants, process involved, may fundamentally affect everyday lives of those families and households whose residences are upgraded by disrupting established existing and immediate livelihoods, business premises, work places, and schooling of children, tenancy and community built social networks. This may lead to rejection or lack of uptake of the initiatives. The implication is that a people's centered approach is a critical element of any slum upgrading programmes. This is the case with other community development initiatives. For this particular study, the focus in on the NYS slum upgrading project in Soweto East Village in Kibera under the Ministry of Devolution and National Planning initiated in 2013 and stalled in 2015. Soweto East Village is part of the wider Kibera informal settlements characterized by

lack of sanitation, drainage, sewerage system, health facilities and decent housing and high poverty levels among the residents. This study sought to find out if involving the people would lead to more successful outcome of the project. The main objective of the study was, therefore, to explore the extent to which the National Youth Service (NYS) Upgrading Initiative integrated community participation in the upgrading project of Kibera informal settlement. The study was guided by specific objectives, namely; to analyse the implication of informal settlements on living conditions of residents in Soweto East Village Kibera.; to explore how implementation strategies of the National Youth Service (NYS) Upgrading Initiative integrated community participation in Soweto East Village Kibera and to assess the perceptions of Soweto East village residents on participation in the National Youth Service (NYS) Upgrading Initiative. Guided by participatory approach as the underpinning theoretical assumption, From the first objective of this study, it emerged that poor living conditions in Soweto East village were characterised by poor housing, sanitation, inadequate clean water, poor infrastructure, limited access reliable source of energy, education and health facilities. It also emerged that there is a nexus between jobless, poverty and low income level on the one hand and informality and living conditions in the slum dwellings on the other hand. This placed the residents of Soweto East Village at the centre of any initiative for the improvement of the living conditions within the informal settlement.

Following from the above conclusion arising from objective one of this study, it was critical to assess the extent to which the initiative integrated community members of Soweto East village in form of community participation. It emerged that, the NYS initiative did not involve the people at its inception as it was a declaration of the president and the Ministry of Devolution and National Planning but it integrated the residents of Soweto East village in the implementation the project through activities like garbage collection, construction work, microcredit facilities, urban farming among others..

The third objective subsequently explored perspectives of the resident on community participation. It emerged that the NYS initiative did not seek the perspectives of the people in the inception of the project, in setting priorities, in identifying how the

initiative would affect the residents positively and negatively and how to mitigate the negative effects of the initiative from the perspectives of residents. The local community should always be the main focus in slum upgrading because they understand their neighbourhood and what is of priority depending on the challenges they face.

This investigation revealed that sudden halting of the project led to key questions, including the real intention of the project against the backdrop of corruption allegations. Questions emerged from the study, as to whether the NYS initiative was merely a conduit for siphoning funds by corrupt cartels involved in the project. Participants in the study also raised concerns regarding social, economic, political and even physical environmental of the Soweto East Village. In the final analysis it emerged that even though the project brought about some positive elements to the residents and relevant stakeholders during the short period it was operational, consultation and involvement of the people from its inception would have contributed to its sustainability. Engaging the community allows the project initiatives to understand the real problems of the people from their own perspectives and how these problems can be responded to and also allow them to negotiate with the government on the reasonable, acceptable pace and strategies of implementing the projects. A slum upgrading project cannot be successful without engaging the community, because their fears, hopes and needs will affect the development process which will in turn affect their lives.

5.3 Recommendations

From the summary of findings and conclusions in this chapter, the study makes the following recommendations:

- i. The study revealed poor living conditions in Soweto East village characterised by poor housing, sanitation, inadequate clean water, poor infrastructure, education and health facilities and limited access to reliable source of energy. As a corollary there is a nexus between jobless, poverty and low income level on the one hand and informal settlement. That is for people decide to live under slum conditions because they do not have income to rent decent houses. The

government should strive to create job opportunities to raise income level as a long term strategy for dealing with informal settlements.

- ii. Related to the issue of low income levels and unemployment among residents of informal settlements, the government should strive towards provision of affordable housing programmes.
- iii. The study revealed that the local community were adequately involved in the inception of the project, in setting priorities, in identifying how the initiative would affect the residents positively and negatively and how to mitigate the negative effects of the initiative from the perspectives of residents. This study therefore recommends that slum upgrading initiatives should involve beneficiaries of informal settlements in upgrading programmes from the point of inception through implementation to evaluation.

5.4 Suggestions for further research

- i. A study that places informal settlement within the broader national economic conditions, and answer the question, whether people live in informal settlements because there are limited housing in the urban settlements in Kenya or because people do not have enough income for better living conditions.
- ii. There is a need for a study on informal settlements as an aspect of capitalist exploitation since most informal settlements in Kenya are adjacent to either affluent settlements or industrial establishments in the localities.

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APPENDICES

APPENDIX I: Household Questionnaire

I am a student at Kenyatta University undertaking a Masters Degree in Environmental Studies and Community Development. As part of the requirement for the degree, I am undertaking a research project on challenges of upgrading urban informal settlements in Kenya; Soweto east, kibera. I would like to request for your participation in this questionnaire. The information obtained is intended purely for academic purposes and as such will be treated with utmost confidentiality.

Section A

1. Name of Village.....

2. Gender

a) Male b) Female

3. What is your age?

4. Marital Status

a) Single

b) Married

c) Widowed

d) Divorced

5. What is your highest level of education?

a) None

b) Primary

c) Secondary

d) Tertiary

e) University

6. What is your household's total monthly income?

7. How much do you pay for rent each month?

8. How many people live in your household?

9. Who is the primary person responsible for the household?

10. i) Are you aware of who your landlord is?.....

a) Yes

b) No

Section B

11. How long have you been living in this area?

12. Where did you live before moving here?

13. i) Do you feel comfortable living in this area?

a) Yes

b) No

ii) Why?

14. What prompted you to leave your previous place of residence?

15. What influenced your decision to settle in Soweto East Slums?

16. Do you have any plans to move out of this area?

a) Yes

b) No

17. If yes, when and where do you intend to relocate?

Section C

18. How many rooms are there in your current home?

19. What type of materials were used for the walls of your house?

a) Stones

b) Mud

c) Iron sheet

d) Wood

e) Bricks

f) Scrap metal

20. What is the condition of the floor in your home?

a) Concrete

b) Wood

c) Earthen

d) Others?

21. Where do you get your water from?

a) Piped water in the house

b) Yard tap

c) Well/river

d) Water vendors

e) Rain water

22. How far is the nearest water point from your home?

23. How much do you pay for the water?

24. What difficulties do you face when accessing water services?

25. What kind of toilet facilities are available in your household?

Private toilet

Public toilet

26. i) If you use a public toilet, do you have to pay for it?

Yes b) No

ii) If yes, how much?

27. How is waste disposed of in your area?

Landfills

Open spaces

Dust bins

Others, specify.....

28. Who is responsible for waste collection in your area?

The city council

Community based organizations

Private collectors

29. What is the source of lighting in your home?

Electricity

Solar energy

Portable battery

Paraffin

Candle

30. What type of electricity connection do you have in your house?

Formal

Informal

None

31. In your opinion, what are the main challenges faced in providing electricity?
.....

32. i) Do you have children who are currently attending school?

a) Yes b) No

If so, what type of school do they go to?

Public

Private

Religious

33. What influenced your decision to choose this school?

34. In your view, what are the key challenges in providing education?

35. How would you rate the quality of healthcare services in Soweto East in recent years?

Has improved

No change

Has deteriorated

ii) Please explain your rating briefly.....

36. What are the most prevalent health conditions in this area?

37. In your opinion, what are the challenges affecting healthcare services in Soweto East?

38. How would you describe the condition of the road network in your area?

Very good

Good

Fair

Poor

39. How would you describe the security situation in your neighborhood?

a) Secure b) Insecure

40. If you feel the area is insecure, what factors do you think have contributed to the insecurity?..

43. What are your thoughts on the current slum upgrading project?

44. Do you believe you have been adequately involved in the project?

- If not, could you explain why?

46. What changes or improvements do you think should have been made in the project?

APPENDIX II: Interview Schedule

Name of the respondent.....

Title/position.....

Organization.....

1. What is your role in slum upgrading programme?
.....
2. Were you aware of the National Youth Service (NYS) upgrading initiative?
.....
3. What can you say about the status of Soweto East village?
.....
4. How would you describe life generally in Soweto East Village?
.....
5. In what capacity did you participate in the National Youth Service upgrading project?
.....
6. In your opinion was the National Youth Service (NYS) upgrading initiative project successful?
7. Do you think people we involved in the upgrading initiative evenly?
.....
8. Who owns land/property in Soweto East Village?
.....
9. What do you know about allocation of build affordable houses?
.....
10. It is always said that the slim dwellers are resistant to upgrading initiatives. Please comment ...

Appendix III: NACOSTI



NATIONAL COMMISSION FOR SCIENCE, TECHNOLOGY AND INNOVATION

Telephone: +254-20-2213471,
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When replying please quote

NACOSTI, Upper Kabete
Off Waiyaki Way
P.O. Box 30623-00100
NAIROBI-KENYA

Ref. No. **NACOSTI/P/17/37035/20164**

Date: **4th December, 2018**

Margaret Wangui Thiga
Kenyatta University
P. O Box 43844-00100
NAIROBI

RE: RESEARCH AUTHORIZATION

Following your application for authority to carry out research on *“Impact of participation in upgrading of urban informal settlements in Kenya, Kibra Slum; Soweto East Village,”* I am pleased to inform you that you have been authorized to undertake research in **Nairobi County** for the period ending **6th December, 2018**.

You are advised to report to **the County Commissioner and the County Director of Education, Nairobi County** before embarking on the research project.

Kindly note that, as an applicant who has been licensed under the Science, Technology and Innovation Act, 2013 to conduct research in Kenya, you shall deposit a **copy** of the final research report to the Commission within **one year** of completion. The soft copy of the same should be submitted through the Online Research Information System.


GODFREY P. KALERWA MSc., MBA, MKIM
FOR: DIRECTOR-GENERAL/CEO

Copy to:

The County Commissioner
Nairobi County.

The County Director of Education
Nairobi County.

Appendix IV: Approval of Research



KENYATTA UNIVERSITY GRADUATE SCHOOL

E-mail: * dean-graduate@ku.ac.ke

P.O. Box 43844, 00100
NAIROBI, KENYA
Tel. 810901 Ext. 57530

Website: www.ku.ac.ke

Internal Memo

FROM: Dean, Graduate School DATE: 16th May 2016

TO: Margaret Wangui Thiga REF: N50/24842/13
C/o Environmental Studies
& Community Development.


SUBJECT: APPROVAL OF RESEARCH PROPOSAL
=====

This is to inform you that Graduate School Board, at its meeting of 11th May, 2016, approved your Research Proposal for the M.Env Degree Entitled, "Impacts of Participation in upgrading of Urban Informal Settlements in Kibra, Kenya".

You may now proceed with data collection, subject to clearance with the Director General, National Commission for Science, Technology and Innovation

As you embark on your data collection, please note that you will be required to submit to Graduate School completed Supervision Tracking forms per semester. The form has been developed to replace the progress report forms. The supervision Tracking Forms are available at the University's website under Graduate School webpage downloads.

Thank you.


HARRIET ISABOKE
FOR: DEAN, GRADUATE SCHOOL

c.c. Chairman, Department of Environmental Studies & Community Development

Supervisors:

1. Dr. Joseph Muriithi
C/o Department of Environmental Studies & Comm.
Development
Kenyatta University
2. Dr. Mary Baaru
C/o Department of Environmental Studies & Comm.
Development
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BIV/mss