

# Slum Upgrading and Community Participation

A Case Study on Slum Upgrading in Kibera

Magnus Flinck



**LUNDS**  
UNIVERSITET

© Copyright Magnus Flinck

Lunds universitet, Lunds tekniska högskola  
Institutionen för byggvetenskaper, Byggproduktion

Telefon: +46 46 2227421  
Hemsida: [www.bekon.lth.se](http://www.bekon.lth.se)

ISRN LUTVDG/TVBP-16/

Printed in Sweden by Media-Tryck, Lund University  
Lund 2016



# Abstract

---

Construction projects will affect numerous actors with various interests, needs and demands. Different project will affect different actors where their specific interests will vary depending on project type but also throughout the projects execution. These actors are today referred to as a project's stakeholders. A project's stakeholders can be defined as the individuals, groups, or organisation, who may affect, or be affected, by a decision, activity, or outcome of a project. Every identified stakeholder must be considered and take into account by the project manager in order to provide successful projects. However, to meet and address all interests is not always appropriate or not even feasible and limitations in resources entails that managers must prioritise certain stakeholders and ignore others. The key objective in today's projects management is therefore to achieve satisfaction among, and create as much value as possible for, the projects stakeholders. Stakeholder's can have a positive as well as a negative impact on a project and managers must therefore plan for projects that maximize the positives and prevent or minimise the negatives.

The stakeholder concept plays an important role in todays project management. Managers must be well aware of who the project's stakeholders are, what interest they have, as well as their potential impact on the project, to be able to correctly manage the stakeholders. The general stakeholder management process consists of stakeholder identification and gathering relevant information, analyse stakeholders and their potential impact, and at last, developing adequate management strategies. Stakeholder analysis is often used as a tool in the stakeholder management process to gathering adequate stakeholder information in order to determine how different stakeholders should be managed. Stakeholder participation is a common management strategy. Participation can improve projects designs and effectiveness and it increase the projects sustainability. It can also create a more cost-effective implementation since the project cost to some extent can be shared with some of the stakeholders.

This research has adapted the stakeholder concept to construction projects in slums and informal settlements. These types of projects is often referred to as slum upgrading, which is a process that include all the physical, social, economic, organizational and environmental improvements of the slum. This study focuses on the actors that living in these settlements and participation involvement of these actors (community participation). The purpose of the study is to analyse and contribute with understanding in how suitable stakeholder management and adequate participation processes can increase upgrading projects success. The aim is to develop a participatory strategy suitable for the community stakeholders and provide key factors that are essential for slum upgrading to be successful.

The general research process aims at identify relevant stakeholders, to obtain stakeholder information, and to analyse stakeholders' potential impact in a project. Based on this a community participation strategy has further been developed. A literature review was undertaken in the beginning of the study to create awareness to the subject and gain understanding in slums, informal settlements, and stakeholder theory. A case study was used as a method to identify the stakeholders and to gain knowledge on the community's view on slum upgrading and participation as well as gathering relevant stakeholder information. A stakeholder analysis was carried out in order to understand and determine identified stakeholder impact and influence. The specific case was the on going slum upgrading in Nairobi's biggest slum, Kibera.

Following community based stakeholders have been identified in this study:

- Beneficiaries
- Residents in vicinity
- Representatives
- Resources
- Key actors

Firstly, beneficiaries of the projects and residents in vicinity are actors that have been included in the analysis and considered as community stakeholders. In addition to these, the study proposes three community-based actors; representatives, resources and key actors which been distinguished through their resource potential (resources), activeness (representatives) and relevance (key actors). These actors have been defined so they can be analysed, regardless project type. Each and every identified stakeholder's impact and influence was than determined in different project phases and a suitable community participation strategy was developed. The study also explain why the stakeholder approach is particular important in slum upgrading and how community participation increasing slum upgrading projects success.

The study concludes by proposing three key factors that are essential for slum upgrading to be successful. These factors have been developed based on the empirical study, observations, the literature, and the stakeholder analysis and can be summarized as:

- Adequate stakeholder analysis
- Efficient participation
- Information and communication

The study can show the major impact adequate stakeholder analysis have in slum upgrading projects. To correctly identify, manage and analyse stakeholders entails that for the project valuable information and data can be obtained. In the lack of such processes, project will struggle to address major interests and relevant stakeholders.

The study can also show the great benefits of having the community participating throughout the projects. The community possess information, skills and expertise that could be of great value for the projects execution. Different projects however, have different actors, and have different aims and objectives. Some actors may not be needed in certain projects or phases while others are crucial. An efficient participation strategy must therefore be well suited for the projects purpose and for the relevant actors.

At last, information and communication is a crucial part in the on going slum upgrading. Without efficient communication channels and reliable information flows the community will feel neglected and mistreated. This increases the risks of unnecessary opposition and irritation, which in turn can have major impact on the projects execution.

# Sammanfattning

---

Byggnadsprojekt påverkar en rad olika aktörer som har olika intressen, behov och krav. Vidare gäller att olika projekt påverkar olika typer av aktörer vars intressen beror på typ av projekt och i vilket det givna projektet befinner sig i. Dessa aktörer benämns idag som ett projekts intressenter. Man kan definiera intressenter som individer, grupper av personer, eller organisationer som påverkas av, eller kan påverka, företags utfall, beslut eller aktiviteter. För att skapa framgångsrika projekt är det viktigt ansvariga och beslutsfattare att beakta samtliga intressenter samt deras intressen och behov. Samtidigt är det inte alltid lönsamt eller ens möjligt att tillgodose allas intressen. Begränsade resurser gör istället att företag, projekt och organisationer måste prioritera vissa aktörer och till viss del ignorera andra. Projektledningars mål bör vara att till största möjliga mån tillfredsställa och skapa mervärde för projektets intressenter. Intressenter kan ha såväl positiv som negativ påverkan på ett projekt och det gäller därför att planering främjar positiv påverkan och förhindrar negativ.

Intressentteorin har en betydande roll i dagens arbete inom projektledning. För att kunna hantera olika intressenter på ett effektivt och korrekt sätt måste man vara väl medvetna om vilka intressenterna är, vad för typ av intressen de har, samt vad för påverkan de kan ha på projektet. Den generella intressenthantering består generellt av fyra processer; identifiering av intressenter, samla relevant information, analysera intressenterna samt utveckla strategier för hur dessa bör hanteras. Intressentanalys är ett verktyg som används för att systematiskt samla på sig värdefull information om intressenter för att senare kunna värdera vilka aktörer som spelar roll samt på vilka sätt. Intressentinvolvering eller intressentdeltagande är en process som avser hantering av intressenter. Den innebär att intressenter får en möjlighet att delta i olika skeden och processer i projekten vilket i sin tur kan förbättra projektens, design utförande samt hållbarhet. Vid fall där detta är möjligt kan även projektkostnaden till viss del delas med de aktörer som deltar.

Den här studien har anpassat intressentteorin till byggnadsprojekt i slummen, så kallade slumuppgraderingsprojekt. Studien har fokuserat på de aktörer som bor och verkar i slummen och hur dessa aktörer kan och bör involveras i projekten. Syftet med studien har varit att analysera och bidra med kunskap kring hur kvalificerad intressenthantering och lämpliga involveringsprocesser kan öka projekts framgångar. Målet har varit att utveckla en strategi för hur relevanta aktörer i slummen bör involveras i dessa projekt. Målet har också varit att ta fram särskilt viktiga områden som är nödvändiga för att dessa projekt ska lyckas.

Själva undersökningsprocessen ämnar ta identifiera relevanta intressenter, erhålla värdefull information, samt analysera identifierades intressenter påverkan. En involveringsplan har sedan utvecklats och tagits fram baserad på denna information. I början av studien gick litteratur igenom för att gå en inblick i ämnet och skapa förståelse kring intressentteorin och slummiljöer. En fallstudie genomfördes för att identifiera intressenter och samla information om slumsamhället i sig och dess invånare, samt skapa en djupare förståelse kring hur dessa invånare ser på slumuppgraderingsprojekten och potentiella involveringsplaner. En intressentanalys genomfördes för att förstå och bestämma identifierade aktörers potentiella påverkan på projekten. Det obesvarade fallet var den pågående slumuppgraderingen i Nairobis största slum, Kibera.

Från studien har följande typer av intressenter kunnat identifieras:

- Mottagare/kunder
- Närboende
- Representanter
- Resurser
- Nyckelaktörer

Mottagare och närboende är två självklara intressentgrupper inom byggnadsprojekt. Inom slumuppgradering är dessa grupper verksamma inom slummen och har därför tagits med i efterföljande analys. Vidare har tre attribut tagits fram för att särskilja och definiera andra potentiella intressenter inom slummen. Aktörer inom slummen har i denna uppsats definierats efter deras potential att verka som en resurs (resurs), deras aktivitet (representanter), samt deras relevans (nyckelaktörer) för projektet. Dessa har definierats på ett sätt som gör att de kan analyseras oavsett vad för typ av uppgraderingsprojekt det handlar om. Varje enskild intressents påverkan har vidare tagits fram i de olika faserna i ett byggnadsprojekt och en lämplig involveringsplan har utvecklats baserat på detta. Studien förklarar även hur denna involveringsplan kan öka projekts framgång och varför intressentperspektivet är särskilt viktigt inom slumuppgradering.

Studien avslutar med att fastställa tre områden som är särskilt viktiga för att slumuppgradering ska kunna lyckas. Dessa kan ses som en sammanställning av empirin, litteraturen, intressentanalysen och övriga observationer:

- Lämplig intressentanalys
- Effektiva involveringsstrategier
- Information och kommunikation

Studien visar tydligt på intressentanalysens roll i dessa projekt. Att kunna identifiera, hantera och analysera intressenter medför att tillförlitlig information kan erhållas av projektledning som vidare kan vara värdefull för projektets utförande. Utan detta verktyg kommer projekt få svårt att förstå intressenter och deras respektive intressen, behov och krav.

Studien visar klart och tydligt på de fördelar som kommer med att låta vissa aktörer vara involverande och delta i projekten. Detta eftersom de besitter värdefull kunskap, expertis och kunskap som kan vara till stor nytta under projektets gång. Samtidigt har projekt olika syften och mål samt påverkar olika intressenter. Vissa aktörer är vitala i ett projekt medan de inte behövs alls i andra. En effektiv deltagandestrategi måste därför vara väl anpassad för projektets syfte och mål samt deltagande aktörer.

Till sist har studien påvisat vikten av tillförlitlig information och kommunikation i dessa projekt. Utan dessa kanaler finns det en stor risk att samhället kommer känna sig utanför och försummade av projekten. Detta ökar risken för onödig irritation och motstånd vilket i sin tur kan påverka projekten negativt.

# Foreword

---

I arrived in Nairobi, Kenya, on the 19<sup>th</sup> of February in 2016. In May, almost 3 months later I was back in my hometown Stockholm with incredible memories and a lot of new experiences. Kenya has been a very inspiring and exciting country in so many ways and it's been a fantastic journey throughout the whole time. The cultural and religious differences and clashes, never ending traffic jams, the beautiful surroundings and wilderness, mosquitos, the animals, hakuna matata, the diversity, the food, and the lovely and inspiring people is something I will never forget and I will most likely return to Kenya in the near future.

For the last 5 years I've been studying Civil Engineering at Lund University, at the Faculty of Engineering, Sweden. At the end of my studies I've had a desire to study abroad and so, when planning for my master's thesis, I found a for me perfect scholarship provided by SIDA (the Swedish International Development Cooperation Agency) that encouraged students to undertake field surveys in developing countries. I applied and was later granted the scholarship and I started to plan my study where I intended to travel to Kenya for three months to conduct interviews in Nairobi's biggest slum, Kibera, about certain improvement projects that taken place. At this time I didn't know much about the slum environment and how I could reach the people that residing in these settlement and I was therefore in need of certain expertise, assistance and support.

I would hereby like to give a very special thanks to Michael Kabiaru Wanjohi and Dennis Anthony Were, two community leaders operating in Kibera, for their help, participation, advice and suppor. Without their assistance, this study would never been possible. Wanjohi and Were played particular vital roles in the field survey where they provided me with required guidance and assistance that made it possible for me to explore, visit, and do observations in and around Kibera. They also put me in contact with the people of their community, different community leaders, and they also helped me to get in contact with potential respondents for my survey. Therefore, I would also like to give a special thanks to the 31 persons that participated in my workshop and took the time to meet me and answer my questions. They all gave me a warm and friendly welcome to their community and gave me an experience I will never forget with inspiring meetings, exchange and interesting ideas and discussions.

I would also like to give a special thanks to my supervisor Stefan Olander in the Division of Construction Management of Lund University for his help, support, and for his interesting inputs and advice as well as for his continuously and encouraging commitment throughout the whole study.

Finally, I would like to thank my parents; my father Anders and my mother Helena, for their patience, love and constant support as well as my friends for the good times and unforgettable memories during my time in Lund and in Kenya.

*Lund, 20<sup>th</sup> of December, 2016*

Magnus Flinck



# Table of content

---

<b>Abstract</b> .....	<b>3</b>
<b>Sammanfattning</b> .....	<b>5</b>
<b>Foreword</b> .....	<b>7</b>
<b>Table of content</b> .....	<b>9</b>
<b>1 Introduction</b> .....	<b>11</b>
1.1 Background .....	11
1.2 Aims and objectives .....	11
1.3 Limitations.....	12
<b>2 Research Methodology</b> .....	<b>13</b>
2.1 Research process .....	13
2.2 Literature Review .....	14
2.3 Case Study Research .....	14
2.4 Choice of method.....	14
2.5 Data collection.....	15
2.6 Analyse of the method.....	15
<b>3 Stakeholder theory</b> .....	<b>17</b>
3.1 Stakeholder management process .....	17
3.2 Stakeholder analysis .....	18
3.2.1 Stakeholder identification.....	18
3.2.2 Stakeholder impact analysis .....	21
3.2.3 Needs and concerns .....	26
3.2.3 Evaluation of alternative solutions .....	26
3.3 Stakeholder participation.....	26
3.3.1 Community participation .....	27
3.4 Slums.....	31
3.4.1 Definition.....	31
3.4.2 Characteristics.....	32
3.4.3 Policies.....	32
3.5 Slum upgrading .....	33
3.5.1 Past approaches to slums.....	33
3.5.2 Challenges of Slum Upgrading.....	34
<b>4 Research area</b> .....	<b>35</b>
4.1 Kenya .....	35
4.2 Kenyan slums .....	36
4.3 Kibera .....	37
4.4 Kenyan Slum Upgrading .....	37
<b>5 Empirical findings</b> .....	<b>39</b>
<b>6 Analyse</b> .....	<b>47</b>
6.1 Stakeholder identification .....	47
6.1.1 Stakeholder identification.....	47
6.1.2 Stakeholder information.....	48
6.1.3 Stakeholder impact analysis .....	49
6.2 Community participation .....	54
<b>7 Discussion</b> .....	<b>59</b>

<b>8 Conclusions .....</b>	<b>61</b>
<b>8.1 Final conclusions .....</b>	<b>61</b>
<b>8.2 Further research.....</b>	<b>63</b>
<b>8.3 Summary .....</b>	<b>64</b>
<b>References.....</b>	<b>67</b>
<b>Appendix A – Questionnaire .....</b>	<b>71</b>
<b>Appendix B – Workshop questions.....</b>	<b>74</b>
<b>Questions/Subjects for workshop.....</b>	<b>74</b>
<b>Appendix C – Invitation letter .....</b>	<b>75</b>

# 1 Introduction

---

## 1.1 Background

The rapid urbanization of the world has put pressure on the world's cities and the urban environment, not at least in the developing countries (UN-Habitat 2003). People migrate from rural areas into the cities in search of labour and other services the urban environment can offer. If cities don't provide enough services required to stimulate the increased population some people will search for alternative settlements. The formation and emerging of a slum can be seen as a result of a combination of poverty, the rapid urbanization of the world and cities lack of affordable housing and other basic services (UN-habitat 2003).

In Kenya, slums are growing at an unprecedented rate due to the on going rural-urban migration (Candiracci and Syrjänen 2007). The living standards in such settlements are in generally poor with high crime rates, comprehensive health problems and lack of basic access to clean water, sanitation, adequate housing and land tenure. It's an unsustainable situation and in order to address the problems, several political goals and objectives have been established throughout the years on both national and global level. The Millennium Development Goals (MDG), established 2000 as well as the Sustainable Development Goals (SDG), established 2015, both included slum related targets. In order to address the problems in Kenya the government initiated, together with UN-habitat, the Kenya Slum Upgrading Programme (KENSUP) in 2000 with the aim to "improve the livelihoods of at least 5.3 million slum dwellers in Kenya by the year 2020" (Candiracci and Syrjänen 2007).

Slum upgrading has proven to be a positive and encouraging method to improve slum dwellers life conditions (UN-2010). It's a process that includes physical, social, economic, organizational, and environment improvements of a settlement and it can be carried out in different ways. One of the major problems in today's slum upgrading is the lack of adequate stakeholder management and participation involvement of the community (Ndokui 2013). Stakeholder management plays an important role in today's construction management in order to ensure that relevant stakeholders interest are addressed and taken into consideration (Freeman 2010). Participation involvement during slum upgrading can improve projects design and effectiveness and enhance the sustainability of such projects since the projects to a greater extent provide products that are suitable for the stakeholders (Imperato and Ruster 2003).

Without adequate stakeholder management there is a great risk that beneficiaries and other relevant stakeholders interests, needs and demands are misunderstood or treated wrongly by the project managers. Slums are in general complex environments and if relevant stakeholders are misunderstood or neglected it's complicated to provide suitable areas where relevant needs and demands are in focus. However, it's not clear that more participation automatically provide more efficient projects. Instead each and every project need to identify an ideal level of participation suited for a given project (Hamdi and Goethert 1997; Imperato and Ruster 2000; Arnstein 1969).

## 1.2 Aims and objectives

While it's easy to see its good cause, slum upgrading are in general complex projects that requires adequate and reliable stakeholder management. Otherwise there is a great risk that relevant interests, needs and concerns are neglected, misunderstood or mistreated.

The problem is obvious if the community can't take part of an upgrade and thereby have the same life conditions as before the upgrade. Such projects are unsustainable and must be

prevented, but what conclusions can be drawn to inadequate stakeholder management and what impact can such processes have on upgrading projects outcome?

To gain knowledge on what impact stakeholder management and participation can have in such projects, this study will contribute on data and information on slum dwellers view on slum upgrading and participation. The aim is to get an overall insight into participation processes and identify and highlight which factors that are essential for slum upgrading and participation to be successfully.

This study will focus on following objectives:

- Who are the relevant community stakeholders in slum upgrading projects?
- Why are exactly these actors particular important?
- Why is sufficient stakeholder management particular important in slum upgrading?
- How should an adequate participatory strategy suitable for the community be developed?
- How is community participation increase projects success?
- What key factors are essential for slum upgrading to be successful?

### **1.3 Limitations**

Slum upgrading is in general comprehensive projects that involve a variety of actors and different types of stakeholders with different roles, interests, needs and demands. The projects also consist of a variety of different processes and policies.

This research is limited to the on going slum upgrading in Kenya's largest slum settlement, Kibera, which is located in the country's capital Nairobi. While slum upgrading affects several different groups, organizations and various actors this study will only focus on the community and the actors that residing in the given settlement. Regarding slum upgrading's different processes; this study is limited to investigate and analyse participation involvement of the community.

The research it self and the gathering of data was also partly limited due to financial limitations.

# 2 Research Methodology

This chapter describes the methodology used for this study. The overall purpose of the research was to gain knowledge on slum upgrading projects in general and what impact participation can have on such projects.

## 2.1 Research process

This study aims at gain knowledge on the community’s view on slum upgrading and participation. The study also aims at to create awareness on the challenges that slum upgrading and participation are facing and highlight factors that are essential for slum upgrading to be successful. To provide with data and information on these subjects and topics, following research elements were included in the study process:

- Literature Review
- Case Study
- Stakeholder analysis
- Community participation model
- Analyse, Conclusions, discussions and recommendations

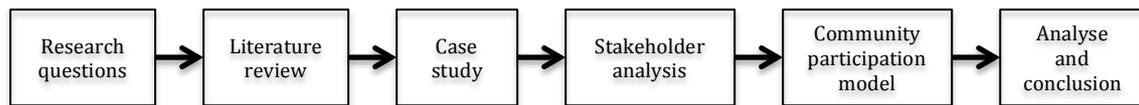


Figure 1: Research process

In order to give answers to the research questions stated above, a specific research process has been developed. This study focusing on stakeholder management and stakeholder analysis, which can provide adequate information required for developing suitable community participation strategies.

A case study was carried out to gain knowledge on what different types of stakeholders that can be relevant in such projects as well as to obtain relevant stakeholder information. The case study aims to answer the question; which types of stakeholders exists within the community? A stakeholder analysis is conducted to identify relevant stakeholders and investigate their influence and impact in such projects. This element purpose is therefore to highlight why these stakeholders are particular important to consider. The case study and the stakeholder analysis will act as the basis when developing a participatory strategy suitable for the community and which is relevant for slum upgrading projects. At last, conclusions and discussions will take place to answer the research questions and discuss the empirical data, analyse methods and suggests further research.



Figure 2: Questions related to research elements

## 2.2 Literature Review

A literature review was conducted to create understanding and awareness of the research problem and the underlying factors. The literature consisted of articles, documents, reports, papers and books on following subjects:

- Stakeholder theory
- Stakeholder analysis
- Slum upgrading
- Stakeholder participation
- Community participation
- Kenya

## 2.3 Case Study Research

A Case study is an empirical inquiry that investigates a contemporary phenomenon in depth and within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident (Yin 2009). The method is as a process that collects, organize and integrate information and the data that in the end will result in a finished product, in this case, a research result (Merriam 1994). In addition to this Schramm (1971:6) states that the essence of a case study is that it tries to illuminate a decision or set of decisions: why they were taken, how they were implemented, and with what result. The case study is just one of many different methods of today's science research and every method have its own advantages and disadvantages. Whether a given method is suitable for a specific research depends in general on three conditions: (1) form and character of the research question, (2) do the investigator have any control over behavioural events, and (3) do the research focus on contemporary events (Yin 2009).

A Case Study can be either quantitative or qualitative (Merriam, 1994) where the different methods have different strengths and weaknesses (Holme and Solvang 1997). A qualitative method is in general about understanding, discovering and interpretation (Merriam, 1994) where the researcher perception, own thoughts and analysis of the collected data are in focus (Holme and Solve, 1997). In a quantitative research the collected data is often transformed into numbers that can be measured and the researcher carrying out statistical analyses and testing specific hypotheses (Holme and Solve 1997).

Yin (2009) argues that a case study is a preferred method when “how” and “why” questions are in focus and where the questions aim to investigate a contemporary event on which the investigator has little or no control (Yin 2009). Bromley (1986:23) states that a case study research is particularly suited when the research is focusing on subjective factors and opinions such as thoughts, feelings and perceptions, instead of information and data generated from tests and experiments.

The purpose of the case study was to investigate the community's view on slum upgrading and participation in order to find key factors that are essential for such projects to be successful and to really understand who the community stakeholders are that get affected, or can affect the upgrading projects. The aim was to gain knowledge about the community's role in upgrading projects, the participation processes, and how sufficient participatory strategies affects projects outcome.

## 2.4 Choice of method

Choice of method is determined by the problem it self, available resources and the researchers experience (Holme and Solvang, 1997) and according to Yin (2009) a suitable method can be

choose upon three pre-set conditions. A suitable method was determined based on these assumptions.

Considered this study's topic, the major aims and objectives of the study as well as the investigated project a qualitative case study was seen as the most suitable method.

## **2.5 Data collection**

Data was gained through a field survey consisted of interviews, workshops and observations but also from documents and articles on slum upgrading and participation, as well as general stakeholder theory. The literature review was made before the questionnaires were designed and the knowledge gained from the literature acted as the basis for the interview questions.

A total of 36 persons from 10 different community-based groups were interviewed through semi-structured questionnaires (see appendix 1). A workshop was also carried out where the interviewees were divided into groups of 5-6 people (see appendix 2). Each group discussed 6-8 pre-set slum upgrading and participation related problems, which they later presented for the rest of the groups. The workshop ended with an open group discussion with all the participants from that day. The purpose of the workshop was to have a more informal discussion and to force a debate between the participants.

The interviews and the workshop took place at a resource centre in Kibera, which was rented for this purpose. All the interviews were conducted during a two day period where half of the respondents participated during day one and the rest during day two. For practical reasons, all respondent was gathered at the resource centre and filled in the questionnaire by themselves, in collaboration with the author of this study, a translator, and two community leaders. The author answered raised questions and the translator ensured that respondents were well aware of the questions.

The purpose with the interviews and the workshop was to gain adequate and relevant stakeholder information, required for the stakeholder analysis. The purpose was also to gain information and understanding on the community's view on the slum upgrading projects that have taken place in Kibera and the challenges these projects are facing. The information gained from the interviews and the workshop could then act as the basis when conducting a stakeholder analysis, investigating stakeholder's influence, and developing adequate community participation strategies.

## **2.6 Analyse of the method**

All research methods have strengths and weaknesses. Since case studies investigate real events with real people, the research can provide and increase the overall knowledge for a specific subject. Complicated and complex problems, programs and phenomenon can be explained and understood and improvements can be developed and take place (Merriam 1997).

At the same time, it's questionable if case studies really can provide a scientific generalization of a phenomenon, which is based on the fact that case studies only investigate a single case (Yin 2009). Another complaint is that case studies can take very long time and be to comprehensive, to long or to detailed (Yin 2009; Merriam 1997). There has also been lack of guidance during the years in how a report should be design and how the data should be analysed (Merriam 1997).

At last a case study places very high demands on the researchers level of expertise, experience and motivation, which can be seen as a strength as well as a weakness. The research is depending completely on the investigator when it comes to data collection and

data analyse (Merriam 1997; Yin 2009). The investigator therefore needs great knowledge in both analysing and interview methods but even with this tools the method can still be difficult (Merriam 1997).

## 3 Stakeholder theory

---

The stakeholder concept and stakeholder theory plays an important role in today's project management (Chinyio and Olomolaiye 2010; Savage et al 1991; Freeman 2010; Donaldson and Preston 1995). An early common view of project management was that managers must attend only to the activities that are necessary for the business to make profit (Savage et al 1991). Today it's commonly known that organisations have a variety of various stakeholders all with important roles and which are in different need of attention and management (Freeman 2010; PMI 2013). Individuals, organisations, or groups, act in general on the basis of their own interests and in order to fulfil these. Their actions however are not always in line with the project's own objectives, visions or goals and managers must therefore be well aware of each stakeholder's interests. In order to provide successful projects, the project manager must be able to manage and align the interests of multiple stakeholders throughout the entire project (Sutterfield et al 2006).

The stakeholder concept was first introduced by the Stanford Research Institute in 1963 (Freeman 2010). Stakeholders were by that time defined as "those groups without whose support the organization would cease to exist" (Freeman 2010:31). Today no one really argues that a stakeholder can basically be anything or anyone: persons, groups, neighbourhoods, institutions, organizations, political organizations, media, Government, etc (Mitchell et al 1997). PMI (2013) states that the project's stakeholders are individuals, groups, or organizations who may affect, be affected by, or perceive themselves to be affected by a decision, activity, or outcome of a project (PMI 2013:394). A similar definition is Freeman's (2010), which states that stakeholders are "any group or individual who can affect, or is affected, by the achievement of the firm's objectives".

The key objective in today's project management should be to achieve stakeholder satisfaction (PMI 2013). Stakeholder theory is the idea that a business's general purpose is to create as much value as possible for its stakeholders. The theory consists of ideas, strategies, metaphors and expressions in how companies can achieve this (Strand and Freeman 2012). Every identified stakeholder must be considered by an organization in order to make the business successful. However, limitations in resources entails that managers must be able to prioritise certain stakeholders and ignore others with little or no impact (Freeman 2010).

Stakeholder management is about creation and maintenance of relationships between the project team and stakeholders, with the aim to satisfy their respective needs and requirements within the project boundaries (PMI 2013:400). Stakeholders can have a positive as well as a negative impact on an organisation and in order to prevent or minimise negative effects and maintain or increase the positive's, the stakeholder must be effectively managed by the organization (Chinyio and Olomolaiye 2010). Stakeholder management can be seen as a collection of various processes required to identify stakeholders and stakeholders information, analyse stakeholders expectations and their impact on the project, and to develop adequate stakeholder management strategies (PMI 2013; Savage et al 1991; Chinyio and Olomolaiye 2010; Karlsen 2002).

### 3.1 Stakeholder management process

If carried out correctly, the stakeholder management process should be seen as an opportunity for improving a project (Olander and Atkin 2010). According to Karlsen (2002) a stakeholder management process should be implemented due to; (1) To become acquainted with the project's stakeholders, (2) To ensure the balance between contribution and reward, (3) It is a basis for managing stakeholders, (4) It is the basis for deciding who should be involved in determining the project's goals and how success should be measured.

Changes in the environment of the organisation have strong impact on the projects implementation. The stakeholder management process can therefore be seen as tool with the aim to maintain the desired implementation of the project and avoid unnecessary conflicts with stakeholders (Olander and Atkin 2010).

## **3.2 Stakeholder analysis**

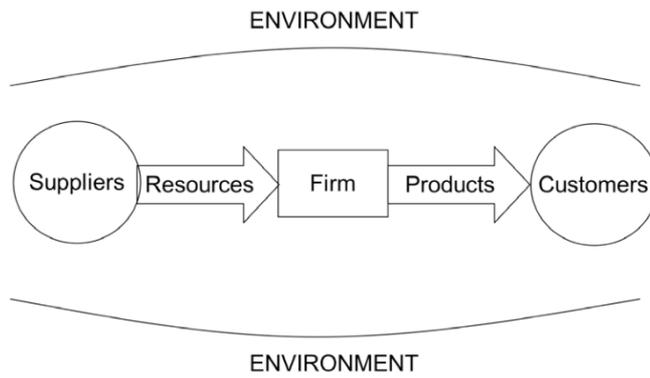
Freeman (2010) argues that the stakeholder concept can be used to better understand, at the rational level, exactly who the stakeholders are. The stakeholder concept helps us to better understand the firm in its environment and it highlights the management's role and responsibilities beyond profit maximizations functions (Mitchel et al 1997). Stakeholder analysis is a management tool or technique of systematically gathering adequate stakeholder information in order to determine whose interests that should be taken into account throughout the project (PMI 2013). According to Olander (2006A) a complete stakeholder analysis should consist of following five processes.

- Stakeholder identification
- Stakeholder needs and concerns
- Stakeholder impact analysis
- Evaluation of alternative solutions
- Level of acceptance

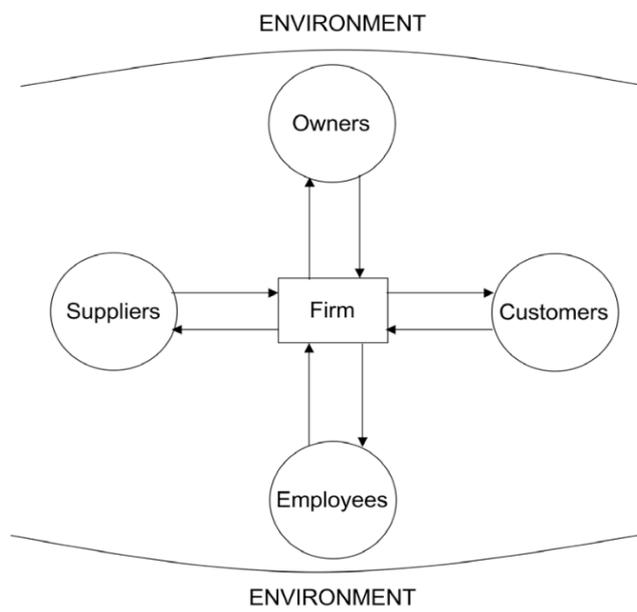
### **3.2.1 Stakeholder identification**

Stakeholder identification is the processes of identifying people, groups, or organizations that could impact or be impacted by a decision, activity, or outcome of the project, analysing and documenting relevant information regarding their interest, involvement, interdependencies, influence, and potential impact on project success (PMI 2013:393). PMI (2013) highlight the importance of identifying stakeholders early in the project and to correctly analyse and identify relevant information such as their roles, interests, demands, knowledge, expectations and influence. Interviews with experts, brainstorming in groups or use of checklists can be tools and techniques for identify stakeholders (Karlsen 2002). According to Karlsen (2002) the identification process should be carried out by a group with members of different background, since what one person identifies as a stakeholder may not be obvious to others.

Freeman (2010) was the first to highlight the impact and effect the external environment have on organizations business. Previous theories had only considered the internal environment of the firm. In the production view, illustrated in figure 3 below, suppliers and customers are the only actors that are of interest to the firm. The managerial view, illustrated in figure 4, departs from this view by state that also owners and employees are important actors in need of attention. Suppliers, customers, owners and employees can bee seen as the firm's internal stakeholders.



**Figure 3: The Production View of the Firm (Freeman 2010:5)**



**Figure 4: The Managerial View of the Firm (Freeman 2010:6)**

None of these views however pay attention to changes that occurs in the external environment. These changes create uncertainties since it cannot be readily assimilated into the more comfortable relationships with the internal stakeholders. External changes affect the firm's ability to cope with internal changes and it's therefore important to have approaches and frameworks that take into account such changes (Freeman 2010). External changes can have particular strong effects since the project environment change from one project to another (Olander and Atkin 2010). Freeman (2010) suggests a framework that defines the firm's stakeholders as "all groups and individuals that can affect, or is affected, by the achievement of the firm's objectives", a definition that consider both internal and external relationships.

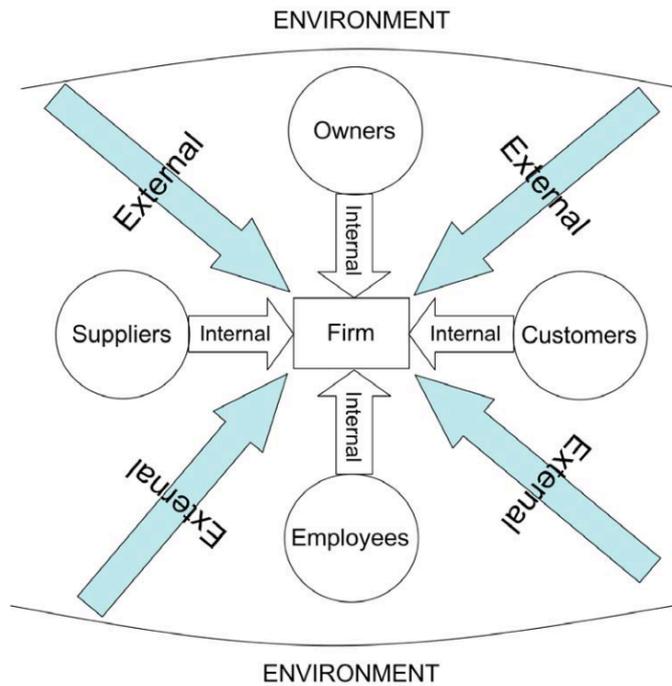


Figure 5: Internal and External Change (Freeman 2010:12)

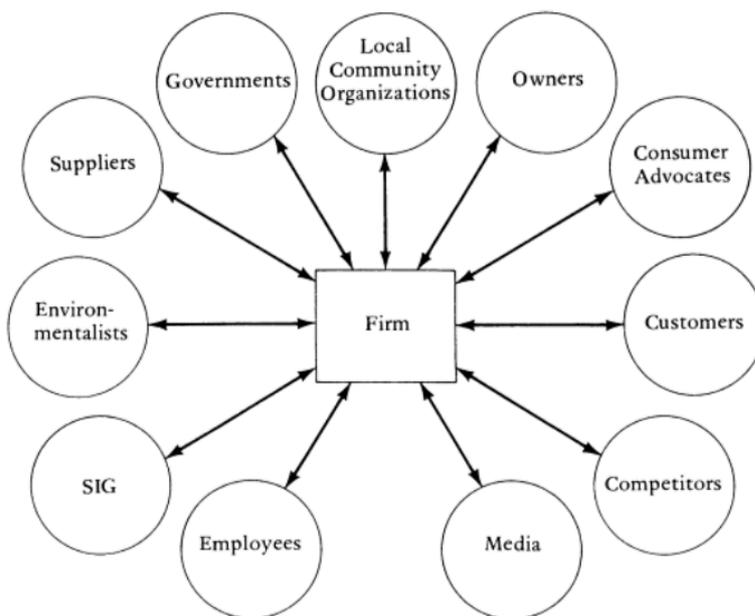


Figure 6: Stakeholder View of the Firm (Freeman 2010:25)

### 3.2.2 Stakeholder impact analysis

For adequate stakeholder analysis is not enough to only identify the organizations stakeholders. Managers must also identify other relevant information such as their relative power (Olander 2006A) or the potential for threat and collaboration (Savage et al 1991). Stakeholder’s impact and influence depends on several factors and issues and managers must be able to develop customized methods suitable for different types of stakeholders (Savage et al 1991).

Analysing and mapping stakeholders can be done in multiple ways (Savage et al 1991; Mitchel et al 1997; Johnson and Scholes 1999; Olander 2006A). Savage et al (1991) method, which considers potential threat and cooperation, is a two-dimensioned matrix (see figure 7), where the two axes, potential for collaboration and potential to threat, generate a matrix with four types of stakeholders; *supportive, marginal, nonsupportive, and mixed blessing*.

		Stakeholder potential threat	
		High	Low
Stakeholder’s Potential For cooperation	High	MIXED BLESSING	SUPPORTIVE
	Low	NONSUPPORTIVE	MARGINAL

Figure 7: The cooperation/threat matrix (Savage et al 1991)

The stakeholder’s potential for threat can be seen as the stakeholder relative power and its relevance to a particular issues. In this case power can be seen as a function of the organization’s dependence on the stakeholder. Threat is also determined upon stakeholders potential to act (Savage et al 1991). Potential for cooperation is based on the stakeholder’s capacity to expand its interdependence with the organization as well as stakeholders willingness to cooperate with the organization.

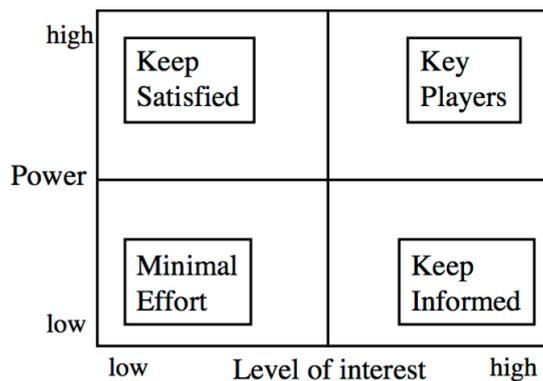
**The supportive stakeholders** are not threatening to the organization, but the group has high potential for cooperation. The supportive stakeholders generally consist of service providers, staff employees, suppliers, and non-profit community organizations. **The marginal stakeholders** have low potential for both cooperation and threat and usually consist of customer interests groups, shareholders and professional associations for employees. **Nonsupportive stakeholders** have high potential to threat but are the least likely to cooperate. According to Savage et al (1991) this is the most distressing group for managers. Common nonsupportive stakeholders are competing organisations, employees unions, federal government and media. **Mixed blessing stakeholders** have high potential for cooperation and high potential for threat. They have a major role in the organisation and generally consist of clients, customers and organisations with complementary products.

Another strategy to map stakeholder influence has been developed by Johnson and Scholes (1999), where stakeholders are defined after their power and level of interest. Stakeholder mapping can be undertaken by consider:

- How interested each group is to impress its expectations on the organisation's purposes and choice of specific strategies
- Have the stakeholders enough power to do so?

(Johnson and Scholes 1999)

Similar to Savage et al (1991) method a two-dimensioned matrix is generated where four different types of stakeholders can be distinguished.



**Figure 8: The power/interest matrix (Johnson and Scholes 1999)**

Stakeholders with high level of interest and power are referred to as *key players*. Adequate strategies is here of major important. Stakeholders with low level of interest but which possess high level of power can generate difficulties for organizations and managers must ensure that these groups are satisfied. Stakeholders with high level of interest, but without any significant power, are important for the managers since they can be vital ‘allies’ in influencing processes, such as lobbying. These groups should therefore be kept informed on relevant project updates. At last, minimal effort should be applied for stakeholders with low level of interest and low level of power (Johnson and Scholes (1999).

To be able to carry out a thorough external stakeholder analysis, the levels of power and interest must be evaluated on a finer scale than one of high or low (Olander 2006). By considering stakeholders vested interest in a projects success as well as the impact of this interest a more appropriate mapping can be undertaken. Bourne and Walker (2005) suggest a ‘vested interest-impact index’ (ViII) where the potential impact of a stakeholder’s interest is determined based on the interest-strength and its influence-impact potential. By assess stakeholder’s vested interest (probability of impact) and the interest impact potential (level of impact) on a scale from 1 to 5, the power/interest matrix can be developed into the stakeholder impact/probability matrix seen in figure 9 (Bourne and Walker 2005; Olander 2006).

Level of impact (i)	5	Keep Satisfied	Key Players
	1	Minimal Effort	Keep Informed
		1	5
		Probability of impact (v)	

**Figure 9: The impact/probability matrix (adapted from Johnson and Scholes 1999)**

The vested interest level (v) and the Influence impact level (i) varying from very high to very low where 5 = very high, 4 = high, 3 = neutral, 2 = low, 1 = very low. According to this, the vested interest index (ViII) can then be calculated as (Bourne and Walker 2005):

$$ViII = \sqrt{\frac{vi}{25}}$$

Mitchel et al (1997) developed a model that classifies stakeholders through three stakeholder attributes; Power, Legitimacy, and Urgency. Stakeholders possess power when they can influence another part to make decisions the part otherwise wouldn't have done (Mitchel et al 1997). According to Mitchel et al (1997:865) a party "...has Power, to the extent it has or can gain access to coercive, utilitarian, or normative means, to impose its will in the relationship". Stakeholders have Legitimacy if they have legal, moral, or presumed claim that can have impact on the organizations behaviour, direction, process, or outcome (Rawlins 2006). By adding the attribute Urgency to earlier theory, Mitchel et al (1997) model can go from static to a dynamic model, where urgency is based upon on two assumptions:

- i) when a relationship or claim is of a time-sensitive nature
- ii) when a relationship or claim is important or critical to the stakeholder

Urgency only exists if both conditions are met. "Time-sensitivity" is about to what extent stakeholders can accept managerial delays in attending to a claim or a relationship and "critical" is about the importance of the claim or relationship. Based on this, Mitchel et al (1997) defines urgency as "the degree to which stakeholders claims call for immediate attention".

This approach divides stakeholders into eight stakeholder groups (see figure 10). The stakeholder salience will vary depending on which attributes the stakeholder possess. Stakeholders with only one attribute are in the low salience class and are called latent stakeholders. In the moderately salience class there is stakeholders with two attributes. This class is called expectant stakeholders since they are stakeholders who usually "expect something". Stakeholders with all three attributes are called the "definitive" stakeholders (Mitchel et al. 1997).

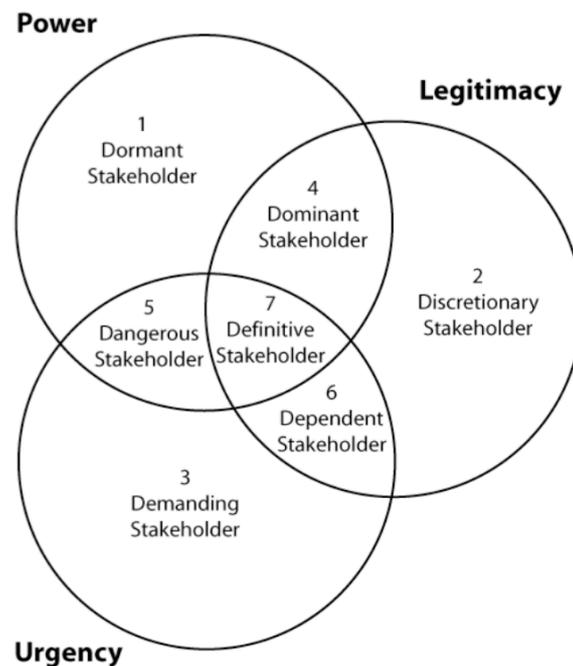


Figure 10: Stakeholder classes (Mitchel et al 1997)

### Latent stakeholders

With limited resources such as time, money and energy, it's not always motivated for managers to identify this type of stakeholders, nor manage possible relationships. The latent stakeholders are not likely to neither give attention to the firm, nor acknowledge its existence. Stakeholder salience will therefore be low for those stakeholders that possess only one of the three attributes (Mitchel et al 1997). **Dormant Stakeholders (1):** Stakeholders that possess power but lacks legitimacy and urgency have the possibility to impose their will but can't due to the lack of legitimacy or lack of urgent claims. **Discretionary stakeholders (2):** Discretionary stakeholders possess the attribute legitimacy but lack power and urgency. Without power or urgent claims there is no pressure on managers to establish active manager-stakeholder relationship, even if the managers in theory could choose to (Mitchel et al 1997). **Demanding stakeholders (3):** This is the group of actors that possess the attribute urgency. This group is often referred to as irritating but not dangerous (Mitchel et al 1997).

### Expectant stakeholders

These stakeholders "expecting something" since the combination of two attributes leads the stakeholder to an active versus passive stance, with a corresponding increase in firm responsiveness to the stakeholders interests (Mitchel et al 1997). Stakeholder salience will be moderate for this group (Mitchel et al 1997). **Dominant stakeholders (4):** With legitimate claims and with the power to act on these, these groups can have obvious impact on the project. Dominant stakeholders are commonly recognized as the only stakeholders of a firm (Mitchel et al 1997). **Dangerous stakeholders (5):** According to Mitchel et al (1997) these are the dangerous stakeholders. Without legitimacy stakeholder's possible actions are coercive and possibly violent. **Dependent stakeholders (6):** For dependent stakeholders to be able to carry out their will they need a certain amount of power. Their role in the organization is therefore depending on other stakeholders of the firm (Mitchel et al 1997).

### Definitive stakeholders (7)

Stakeholders that possess all three attributes are called the definitive stakeholders. A common process is when a dominant stakeholder has a claim that is urgent. Managers have a clear mandate to prioritise this stakeholder's claim and give it immediate attention (Mitchel et al

1997). Stakeholder salience is therefore high for the stakeholders that possess all three of the attributes.

The methods described in chapter 3.2.2 have all advantages and disadvantages. However, none of the methods are considering stakeholder's perceived position in terms of opponent or proponent. McElroy and Mills (2000) suggest that stakeholders can position themselves towards a project on five different levels; active opposition, passive opposition, no commitment, passive support, and active support. Stakeholders may change their position throughout the project depending on how they are treated and managed by the project manager (McElroy and Mills 2000; Olander 2006). Stakeholder's impact on decision-making is highly depending on their position towards the project (Olander 2006). Project managers can, by considering stakeholder's current position and the position required in order to achieve success, obtain valuable information in how to manage different stakeholders based on their position, attitude or commitment towards the project (McElroy and Mills 2000).

Olander (2006) suggest a method for determine stakeholder impact by combine Mitchel et al (1997) stakeholder attributes, McElroy and Mills (2006) stakeholder position, and Bourne and Walkers (2005) 'vested interest-impact index' (ViII), where the methods are developed into the 'stakeholder impact index' (SII). The stakeholder attribute value (A) is assessed by give each attribute (power, legitimacy, and urgency) a weight between 0 and 1, with the sum of the attributes weight at 1. Each stakeholders attribute value is then depending on which attributes the stakeholder possess (Olander 2006B). Stakeholder position value (Pos) varies between -1 and 1, depending on which position the stakeholder has towards the project. The value is determined as follows: (Olander 2006B)

- active opposition (Pos = -1)
- passive opposition (Pos = -0,5)
- not committed (Pos = 0)
- passive support (Pos = 0,5)
- active support (Pos = 1)

The stakeholder impact index (SII) and the projects total stakeholder impact index (SIIproj) can then be calculated as:

$$SII = ViII \times A \times Pos$$

$$SIIproj = \Sigma SII_k$$

The stakeholder impact index gives an indication on an actor's potential impact and influence. A high positive value implies that the actor have big positive impact on the project while a negative value indicates the opposite. The stakeholder's impact then decrease when the value goes towards zero. An adequate stakeholder management process should aim at improve the projects total stakeholder impact index, or at least make sure that it's not decreases (Olander 2006B). The stakeholder impact index can be used as a planning and evaluation tool to structure project stakeholders and their potential impact progressively, and to evaluate the outcomes of the influence of external stakeholders during implementation and after the projects completion (Olander 2006B:49)

### 3.2.2.1 Level of Acceptance

Olander (2006A) states that the acceptance level has impact on stakeholders' position towards the project and their influence. The level of acceptance depending on how stakeholders feel they been treated and how their needs and concerns been considered. Olander (2006A) argues that the level of acceptance depending on the project managers ability to identify and manage

stakeholders concerns and to maintain or increase the level through adequate stakeholder management. Following three areas are highlighted in this process:

- build and maintain a base of trust
- communicate all positive and negative consequences about the project
- implement the project in such ways that the potential negative impact are minimised (Olander 2006A)

The challenge for managers is to develop and implement project that minimise the projects negative impacts, where benefits and disadvantages are presented realistically, and which take advantages and maximise the benefits for all affected stakeholders (Olander 2006A).

### **3.2.3 Needs and concerns**

Project managers must be able to correctly identify, acknowledge and be well aware of stakeholder's needs and concerns in order to obtaining acceptance from them (Olander 2006A). Analysing and evaluate such information is therefore a valid and important processes in the stakeholder analysis.

### **3.2.3 Evaluation of alternative solutions**

To establish, maintain or increase the base of trust it's important that project managers, transparent, clear and honest, evaluate alternative solutions based on relevant stakeholder's needs and concerns (Olander 2006A).

## **3.3 Stakeholder participation**

Due to the complex problems and difficulties in today's organization environment, decision-making must be transparent, efficient and flexible in order to cope with changes that can occur in the environment (Reed 2008). Preble (2005) state organizations survival is highly depending on the continuing participation involvement of its relevant stakeholders. Imperato and Ruster (2003:16) have summarized the benefits of participation as:

1. It improves project design and effectiveness
2. It enhance the impact and sustainability of projects
3. It contributes to overarching goals such as good governance, democratization, and poverty reduction

Participation can also create a more cost-effective project implementation, higher accountability of project promoters, and also faster distribution. It also gives project owners access to valuable stakeholder information and knowledge that can be of great value for projects execution (Imperato and Ruster 2003). However, to set up a participatory strategy cost both time and money. More staff is needed for the program formulation and in the preparation phase and the process often requires specialized services such as socio-technical support (Imperato and Ruster 2003).

Imperato and Ruster (2003) formulate their own definition of participation based on earlier definitions and which is suitable when looking specifically at slum upgrading:

“Participation is a process in which people, and especially disadvantaged people, influence resource allocation and policy and program formulation and implementation, and are involved at different levels and degrees of intensity in the identification, timing, planning, design, implementation, evaluation, and post-implementation stages of development projects” (Imperato and Ruster 2003:20).

### 3.3.1 Community participation

Stakeholder participation as a concept is focusing on all the projects stakeholders, while community participation focusing on the participatory strategies suitable for the community. A universal definition of community participation is in general complicated to maintain and it's not even always possible with such a widespread and global definition (Rifkin 1986). Paul (1987:2) defines community participation as “an active process by which beneficiary/client groups influence the direction and execution of a development project with a view to enhancing their well being in terms of income, personal growth, self reliance or other values they cherish”. Reitbergen -McCracken (1996:1) states that community participation is “a process through which stakeholders influence and share control over development initiatives, decisions, and resources that affect them”.

Community participation is a process with several objectives. Paul (1987) highlights five following aims with the process: empowerment, building beneficiaries capacity, effectiveness, cost sharing and project efficiency, which is described in detail below.

**Empowerment:** The first objective is about community participation as an instrument of empowerment. Paul (1987) emphasises that participation can give a fairer sharing of power and also giving the beneficiaries increased possibility to affect the project process and its outcome. **Building beneficiaries capacity:** Community participation can also help building beneficiary capacity. If some management tasks are given to beneficiaries the sustainability can increase due to the beneficiaries increased interest and competence (Paul 1987). **Effectiveness:** Paul (1987) highlights that community participation can increase the effectiveness and the possibility for a project to achieve its objectives. With help from the community it's easier to make sure that newly developed areas are suitable for the beneficiaries and match their needs and demands. **Cost sharing:** Forth objective is about sharing the cost of the project by letting beneficiaries contribute with labour and money and also to maintain the project. **Efficiency:** Paul (1987:4) states that community participation may also increase projects efficiency. Community participation can encourage agreements, cooperation and interaction not only between beneficiaries but also between the beneficiaries and the implementing company. Paul (1987) argues that this will decrease delays, give a more efficient flow and also reduce the overall cost.

### 3.3.2 Levels of participation

Participation can be carried out on different levels depending on how much power participants possess and how much they can influence decision makers (Hamdi and Goethert 1997; Arnstein 1969). Arnstein (1969) states that participation is redistribution of power that enables people to join and take part of a process they in general would be left out from. It gives people a chance to influence relevant decisions and different policies. Arnstein (1969) also state that participation without redistribution of power is a meaningless and frustrating process for the powerless. Power-holders can say that all actors were taken into consideration, but at the same time make it possible for only certain actors to benefit (Arnstein 1969).

Arnstein (1969) discuss the redistribution of power by define a ladder of participation with eight steps where the level of power and participation changes throughout the ladder. The ladder, which can be seen in figure 11, is divided into three major areas, *Nonparticipation* (step 1 and 2), *Tokenism* (step 3,4 and 5) and *Citizen power* (6,7 and 8).

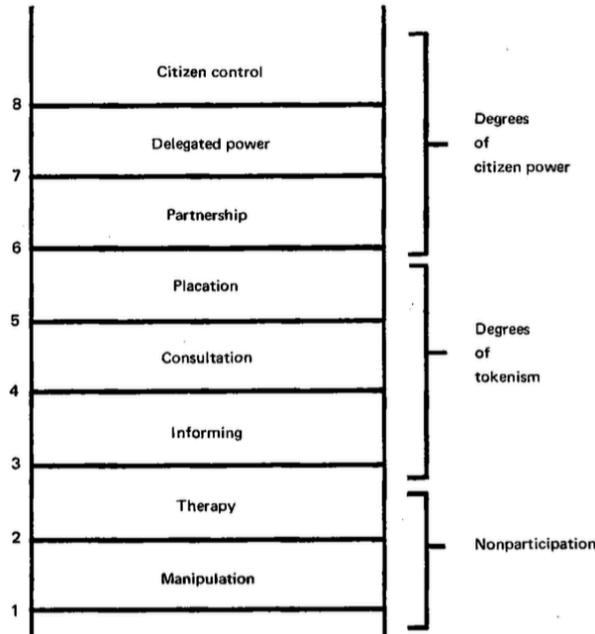


Figure 11: Arnsteins Ladder of Participation (Arnstein 1969)

**Nonparticipation:** The first two steps of the latter include *Manipulation* and *Therapy*. These levels can be seen as a nonparticipation level where power-holders only “educate” or “cure” participants rather than enable people to participate in the planning. **Tokenism:** *Information* and *Consultation* are included in this stage. The participants are hereby involved by giving them “a voice” but they still lack the power to assure that their opinions are actually taken into consideration. The next level in this stage, *Placation*, enables participants to give advice and influence but the power-holders have still the right to decide. **Citizen control:** *Partnership*, which is the first of three levels in this area, allows participants to negotiate with the traditional power-holders. *Delegated power* and *Citizen control* is the top levels of participation. Participants are here either given full control over decisions or possess the majority of the decision-making seats (Arnstein 1969).

Hamdi and Goethert (1997) suggest an alternative approach regarding different levels of participation. According to Hamdi and Goethert (1997) participation can be practised on five different levels; *None*, *Indirect*, *Consultative*, *Shared control* and *Full control*, which is described in detail below.

**None:** On this level, outsiders are responsible in all aspects and for all decisions, and the community is never involved. At this level there will always be an increased risk that the project fail to address the needs and demands of the community. However, the *none* participation approach can be used if a specific case or problem needs urgent actions.

**Indirect:** This level is similar to “None”. Outsiders are fully responsible for the projects outcome, the community is never really involved, and the approach can offer a quick solution. The information is site specific and outsiders receive local related information from second hand resources. According to Hamdi and Goethert (1997) there are two factors that are required for successful “Indirect” participation:

- i) availability of sufficient reliable data
- ii) skill in collecting and analysing data

**Consultative:** This level differs from both “None” and “Indirect” since outsiders take decision and act on the basis of the information received directly from the community. The project managers’ role is to gather information and find solutions on the basis of this information. A “Consultative” level is suitable if the community is more of an “interest group” rather than a stakeholder group.

**Shared Control:** On this level, the community and outsiders are treated as equals where both have the perception that the other part has something to contribute, which means that both actors can be seen as stakeholders. This level is according to Hamdi and Goethert (1997) considered to be the most important level for effective community interaction.

**Full Control:** On this level, outsiders are to be seen as resources and the community have the full responsible of the project. Outsiders can be seen as observers that assist and provide with help when or if this is needed. Compared to “Shared” participation this level can ensure empowerment of the community, which is often one of the main objectives of community participation.

Arnstein (1967), Goethert and Hamdi (1997) and Imperator and Ruster (2003) all argue that the highest level of participation is not always appropriate or not even feasible. Different levels of participation have different functions, depending on project type and in what stage of a project we looking at. It’s therefore important to find an ideal level of participation for a given projects purpose as well as for the different stages. Hamdi and Goethert (1997) developed a framework for appropriate level of participation in different phases of a project and for different project types. For this purpose, a project were divided into five different phases; *Initiation, Planning, Design, Implementation and Maintenance*.

**Initiation:** The initiation stage is where a project starts. The projects objectives, goals and aims are defined and the general scope is decided. The process start on the basis of perceived problems, lack of basic services or new policy initiatives. This phase don’t require any specific expertise or skill.

**Planning:** The planning phase is the key stage of a project and includes the general planning of the implementation. In this phase, the details of the project and specific activities are decided and defined, the budget is determined and agreed, and needed resources are identified. Even if some skills could be needed, the guidelines are good judgement and technical expertise could be used as a resource.

**Design:** In this stage, all the details are developed. The design stage is often requiring technical expertise.

**Implementation:** The implementation stage is the execution of the project. Earlier planned buildings, facilities, gardens, infrastructure are being built, programmes are being established and people are getting trained. Practical management skills are required for a time effective and efficient implementation.

**Maintenance:** This phase includes on-going repairs, protection, renovations and other processes that are needed to preserve and maintain the finished product.

### 3.3.3 Appropriate levels of participation

Projects that's not emphasise participation are initiated at all levels by municipalities or as a result of community pressure and the level of participation declines throughout the project. Planning is in general carried out at none or indirect level for complicated or complex projects, while projects that require help, support and information from the community can be carried out at a consultative level. In such projects the community is seen as a threat, or in other ways not useful due to their lack of skills and knowledge. Participation is in such project seen as a process that slows down the project and making it complicated to meet budget and timetables (Hamdi and Goethert 1997).

Some projects consider participation as a process that entails cheap labour. In such projects the government have control in key areas such as initiation and planning while the community take control of the implementation and maintenance. This is common in low-income housing projects. Some activities don't require any particular skills or knowledge and the community can therefore to a great extent provide with labour in such areas (Hamdi and Goethert 1997).

#### Ideal level of participation

Hamdi and Goethert (1997) argues that the most important factor for effective Community Action Planning is *Shared Control* participation in the planning stage. The community and outsiders is in each stage in a relationship that serve their mutual interests best (Hamdi and Goethert, 1997). A framework for the ideal level of participation have been developed by Hamdi and Goethert (1997), which is described below:

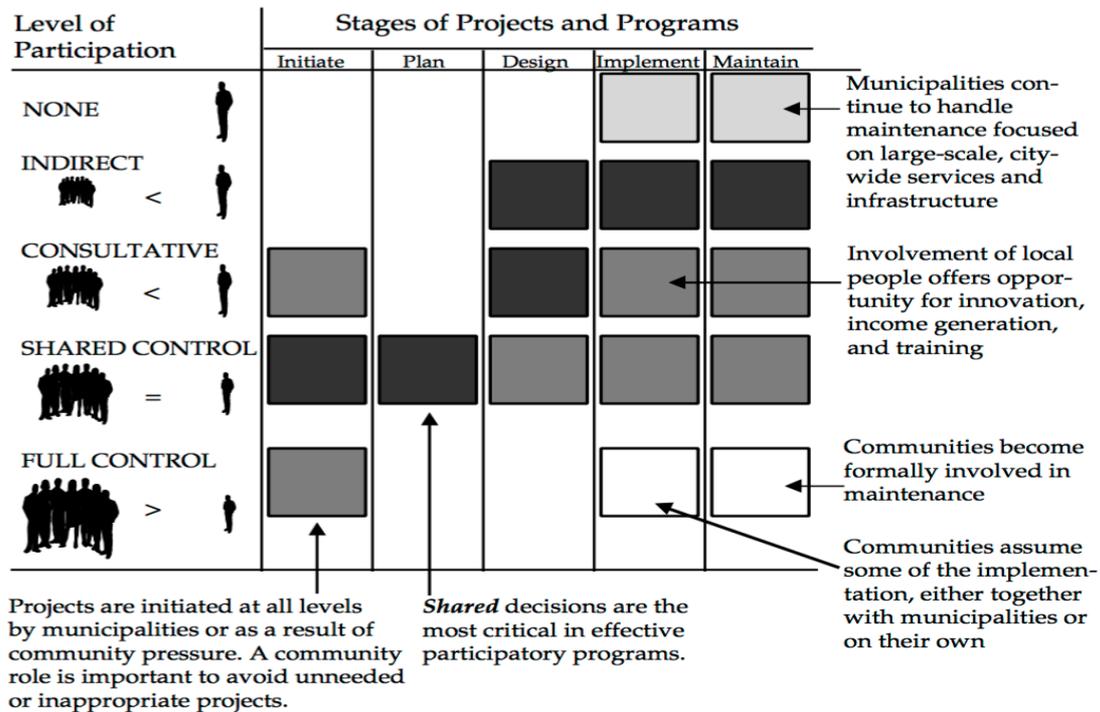


Figure 12: Framework for Ideal Level of Participation (Hamdi and Goethert 1997)

**Initiation:** For the initiation stage the level of participation can be at the *consultative, shared control, or full control* level. Participation at these levels entails that the community will have a role in the project and can take the initiative if needed. The approach is bottom-up biased since the community is a direct initiator of the projects as well as the recipient. **Planning:** The planning stage is where key decisions are taken and where the whole project is designed. This is often seen as the most vital stage for community and the outsiders to be jointly involved and where the control can be shared. Shared control is therefore the most appropriate level of participation in this phase. The community have through shared control the opportunity to decide and plan for their further involvement in the projects. **Design:** In the design stage it's less important that the community are fully involved. However, local knowledge and unique expertise can be of great value during the design stage when alternative methods, solutions and material are being developed. **Implementation:** Considered the technical knowledge and the expertise required for some projects, fully involvement is not always suitable or not even possible. Complex, comprehensive and technical advanced projects are often best implemented by outsiders. In this phase both city and the community should be involved and participate in areas where it can contribute. The implementation phase create income-generated activities that to some extent could be undertaken by the community or local entrepreneurs. **Maintenance:** In the maintenance phase, both community and outsiders should be involved and participate where they best can contribute. The maintenance phase is, similar to the implementation, creating income-generated activities that could be utilized to increase employment within the community. The community can provide labour in garbage collection related areas and maintaining buildings. Depending on what maintenance that is needed, different level of participation can be used.

### 3.4 Slums

The formation and emerging of a slum can be seen as a result of a combination of poverty, the urbanization of the world and cities lack of affordable housing and basic services (UN-HABITAT 2003). During the last years, the rapid urbanization of the world has put pressure on the world's cities, not at least in the developing countries. The urban population in the developing world increased from 18 to 40 percent between the years 1950 to 2000 and this has result in several challenges for both national and local authorities. To be able to stimulate the market and the newly immigrated population cities must generate new jobs, new adequate infrastructure, other basic services, affordable housing and social support (UN-HABITAT 2003). If cities fail to provide enough of such services to meet the needs and demands of the increased population, some people will search for alternative settlements. These settlements can emerge since they provide affordable housing and other services for the poor and other marginalized groups that in one way or another been rejected from the society (UN-HABITAT 2003).

In general it's hard to estimate exactly how many people living in slums around the world. The variety of slum definitions and the complicated process to estimate slum dwellers makes it difficult to state an absolute number. By the year 2001, approximately 924 million people lived in slums or informal settlements around the world, which by that time accounted for nearly 32 % of the world's urban population (UN-HABITAT 2003). 767 million of these slum dwellers were living in the developing world, a number that increased to 828 million by the year 2010 (UN-HABITAT 2010). The slum population have continued to increase during the last years and today's there's almost 1 billion people around the world living in environments of slum characteristics (UN-HABITAT 2010).

#### 3.4.1 Definition

Exactly when an area or environment is to be called a slum is not always clear and differ between countries. The Swedish National Encyclopaedia (Nationalencyklopedin) defines slums as neighbourhoods and environments that in general are characterized by poverty, great social problems, criminality and isolation (NE 1995). A frequently used definition today,

developed by UN-HABITAT (2002) state that a slum is “a contiguous settlement where the inhabitants are characterized as having inadequate housing and basic services. A slum is often not recognized and addressed by the public authorities as an integral or equal part of the city” (UN-HABITAT 2002:8).

### 3.4.2 Characteristics

UN-Habitat (2003) highlights following characteristics of a slum; (1) *lack of basic services*, (2) *substandard housing or illegal and inadequate building structures*, (3) *overcrowding and high density*, (4) *unhealthy living conditions and hazardous locations*, (5) *insecure tenure; irregular or informal settlements*, (6) *poverty and social exclusions*, (7) *minimum settlement size*.

(1) Lack of basic services such as lack of access to clean water, healthcare, sanitation facilities, waste collection system, electricity, adequate roads and streetlights is one of slums major characteristic. (2) Housing is often built with non-permanent materials where mud-walls, straw roofs and earthen floors are common structures, structures that are vulnerable to rain, wind and other climate phenomenon. (3) The space per person is in general very small and it's common that multiple families share a small house. It's not unusual that five or more people share one room with kitchen and a sleeping area. (4) The lack of basic services has lead to unhealthy living conditions due to poor hygiene, high pollution environments, open sewers, lack of garbage disposal and bad roads. Dwellings are often built on unsafe locations such as over watercourses, in slopes, toxic environments etc. with bad accessibility. (5) Lack of secure of tenure is one of the major characteristics for a slum environment. Slum dwellers have in general no documents or registrations that entitling them the right to inhabit these areas or houses. (6) Poverty is widespread in the slum where the majority of the people have low or no income at all. The crime rates are high and the areas are often segregated and isolated from the rest of the city and often accommodates vulnerable groups such as recent immigrants and ethnic minorities. (7) A settlement can only be called a slum if the size of the area exceeds a pre-set size or a specific number of people and houses. This definition varies between countries but is required to be able to determine whether an area should be considered as a slum or not (UN- HABITAT 2003).

### 3.4.3 Policies

In 2006 UN-HABITAT pointed out a worst-case scenario to enlighten planners and policymakers about the unsustainable situation. If slums would continue to grow at the same rate as between 1990 and 2001 there will be nearly 1,4 billion slum dwellers in the world by the year 2020 (UN-HABITAT 2006). To address the problem a number of political goals have been established during the years. In 2000 the United Nations established the Millennium Development Goals (MDG), a series of goals with the purpose to, in the upcoming 15 years, tackle some of the worlds biggest challenges and problems. Besides the overall goal to eradicate extreme poverty and hunger a specific slum related target was established as well.

Target 7.D: *“By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers”*  
(MDG)

In the United Nations report on the Millennium Development Goals (2015) it was stated that approximately 880 million people were living in slum settlements by the year 2015 (MDG 2015), which indicates that the annual growth rate have decreased during the last years. Another progress is that the proportion of the total urban population that living in such settlements declined from 39 to 33 % between 2000 and 2011 (UN-HABITAT 2010).

It's an encouraging development but yet the total number of slum dwellers continues to increase (UN- HABITAT 2010). In September 2015 the UN established a new set of goals: *The Sustainable Development Goals* (SDG). Particularly important slum related goals and targets were:

- *Goal 01: End poverty in all its forms everywhere*
  - *Goal 03: Ensure healthy lives and promote well-being for all at all ages*
  - *Goal 06: Ensure availability and sustainability management of water and sanitation for all*
  - *Goal 08: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all*
  - *Goal 11: Make cities and human settlements inclusive, safe, resilient and sustainable*
- (SDG)

### 3.5 Slum upgrading

Slum upgrading is a process that include all the physical, social, economic, organizational and environment improvements of the slum and can be carried out in many different ways (UN-HABITAT 2003). In order to achieve established national goals slum upgrading plays a big and important role. Slum upgrading and the overall work to prevent the emerging of informal settlements have proven to be positive and encouraging methods to address the problems. UN-Habitat (2010) estimates that with these methods the absolute slum population is expected to be approximately 890 million by the year 2020. In comparison with the worst-case scenario, stated by the UN (2006), that's almost 500 million less than expected.

The general idea of slum upgrading is to give people the right to a decent life with access to basic services in a safe and healthy environment. Cities alliance define slum upgrading as: “a process through which informal areas are gradually improved, formalised and incorporated into the city itself, through extending land, services and citizenship to slum dwellers. It involves providing slum dwellers with the economic, social, institutional and community services available to other citizens. These services include legal (land tenure), physical (infrastructure), social (such as crime or education) or economic. Upgrading activities should be undertaken by the local government with the participation of all parties—residents, community groups, businesses, and national authorities” (Cities alliance). In addition to this, Cities Alliance highlights the importance of legalising and regularising properties and provide secure of tenure to slum dwellers. Residents that are protected from forced evictions tend to invest more in their housing, in the community and in their neighbourhoods (Cities Alliance).

#### 3.5.1 Past approaches to slums

The approach towards slums has varied throughout the years and different methods have been used to tackle the problems.

**Negligence:** Until the beginning of 1970s slums were seen as illegal settlements that are a temporary phenomenon due to the rural-urban migration. The solution to this problem was in general economic development in urban and rural areas. Slums and informal settlements were in general not even detailed on city maps and planning document and the dwellers were seen as illegal squatters (UN-HABITAT 2003).

**Eviction:** When it became clear that the economic development failed to solve the slum related problems eviction became an alternative approach. It was a common approach particularly in political environments dominated by centralized decision-making, weak local governance and administration, non-democratic urban management, non-recognition of civil society movements and lack of legal protection against forced evictions (UN-HABITAT 2003).

Forced evictions could be justified by the importance of urban renewal projects and the need of new improved infrastructure, better health care, sanitation and increased security. In general evicted people didn't get any compensation and no alternative settlements were offered (UN-HABITAT 2003). This approach didn't solve the slum problem. The outcome was instead that the problems only moved from one place to another. The settlements were relocated from the attractive city areas to the outskirts of the cities where the land was easy to access and which in general lacked urban planning strategies (UN- HABITAT 2003).

**Self-help and in situ upgrading:** This approach developed due to the increased awareness of peoples right to housing and protections against forced evictions. The approach departing from the others by recognizing slums as durable phenomenon which are in need of appropriate solutions and focus on improvements in three main areas; (1) *provision of urban services*, (2) *provision of secure of tenure for slum dwellers and the implementation of innovative practices regarding access to land*, (3) *innovative access to credit, adapted to the economic profile, needs and requirements of slum dwellers and communities* (UN- HABITAT 2003).

**Enabling policies:** This approach highlights the need of having slum dwellers involved in projects not only in the construction process, but also in the decision-making. The purpose of this approach is to coordinate community mobilization and organization. The policies state that for a decision to be efficient it has to be taken at the lowest effective level, the level of the community and neighbourhoods. The communities however often need support in training, organizational assistance, financial help and managerial advice and it's the government's role to provide with this support (UN-HABITAT 2003).

**Resettlement:** Resettlement is an approach that includes a series of different strategies. The approach is based on the idea to enhance the use of the land and property that slum dwellers inhabit. To be successful the resettlement must be carried out in cooperation and agreement with the slum households. The dialog between authorities and dwellers is vital and the authorities must be able to offer a new place to resettle. Otherwise this approach is no different from the "forced evictions" approach (UN-HABITAT 2003).

### 3.5.2 Challenges of Slum Upgrading

The most common challenges of slum upgrading are summarized by Ndukui (2013) in the study: *Challenges of Slum Upgrading for Urban Informal Settlement; Case of Soweto East Village in Kibera Informal Settlements*. According to Ndukui (2013) the most obvious and frequent challenges of slum upgrading can be summarized as:

- Competing interests of various groups
- Complexity of slum settlements with regard to tenure agreements
- Lack of coordination amongst various stakeholders
- Lack of participation of slum dwellers in the upgrading program
- Community not knowing their roles as stakeholders
- Politicization of slum upgrading programme

Cities alliance argues that one of the biggest challenges is to achieve unity among the community and to find solutions for a wide range of needs. As mentioned earlier, slums are very complex and not homogeneous environments, which means that there are a great variety of different interests and concerns that needs to be addressed. Cities alliance also states that some projects have failed because people in the community are due to different reasons, not aware or do not believe that they qualify for an upgrading program (Cities Alliance).

## 4 Research area

---

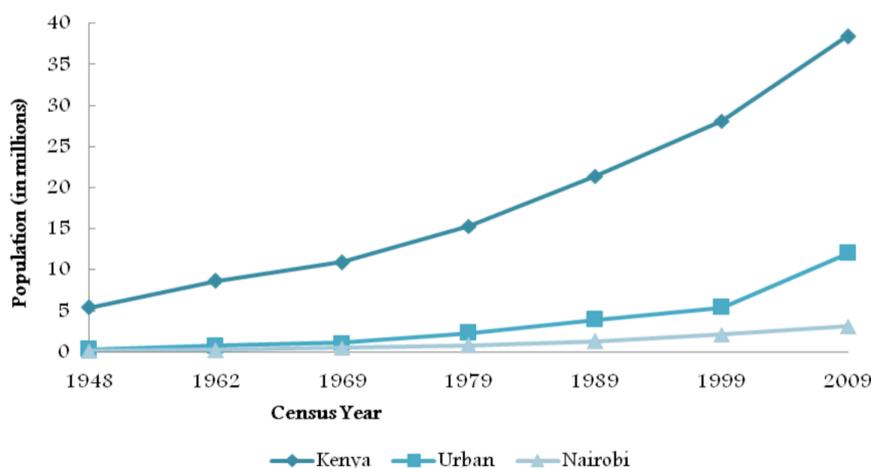
### 4.1 Kenya



Figure 13: Africa and Kenya (ALN 2015)

Kenya is a country in the east Africa region, with great potential and an encouraging development, and which obtained independence in December 1963 after being a British colony. The East African region expanding and Nairobi, the capital of Kenya, is in the centre of this expansion (SIDA 2014). Poverty has reduced and the country is rich in agriculture, have a relatively developed industry and a rich animal life. However, corruption and the lack of democratic governance restrict the positive development and the country's potential (SIDA 2014). Since the independence in 1963 the government of Kenya have faced several challenges due to the high population growth and the rapid rural – urban migration (MOSFP 2008).

The total population increased from 5.4 million to 11 million between 1948 and 1969 (KNBS 2012a). Thirty years later, the absolute population was estimated to 28,7 million and today almost 46 million people are living in Kenya, a numbers that are expected to increase to 64 million by the year 2030 (KNBS 2012a). The general population growth in Kenya, Nairobi as well as in the urban environment can be seen in figure 14 below.



**Figure 14: Populations growth for Kenya, Urban and Nairobi (KNBS 2012b)**

The majority of the Kenyan population is still living in the rural areas of the country. However, the urban population proportion is increasing (MOSFP 2013). In 1948 only 285 000 people were living in urban environments, which by that time accounted for 5,2 percent of the total population. In 1969 the urban population had increased to 1 million, which accounted for 1 percent of the total population (KNBS 2012a). According to the 2009 Population and Housing Census, the total urban population had increased to 12 million by the year 2009 with an urban population rate at 31,3 percent (KNBS 2012b). Today, the urban proportion is almost 40 percent, with a total population of 46 million (KNBS 2012a) and an urban population of 17,7 million (MOSFP 2013).

With an annual urban population growth rate at 4,4 % Kenya is one of the most rapidly urbanising countries in the region (Candiracci and Syrjänen 2007). The rapid urbanization and other demographic, economic and political changes have put pressure on Kenyan cities and the government and local authorities have faced comprehensive and difficult challenges when it comes to provide enough new urban services for the increased population (Syrjänen 2008). Limited technology, resources and financial outlay in Kenyan planning agencies, together with the rapid rural-urban migration and the high urban growth rate, highly effects the social-economic development of Kenya and the country struggles to provide enough adequate services such as water provision, sanitation, housing, security, infrastructure and transport systems (MOSFP 2008).

## 4.2 Kenyan slums

Kenyan slums are growing by the day due to the urban migration (Candiracci and Syrjänen 2007). The rapid growth of slums in and around Kenyan cities proves that the government and local authorities struggles to provide enough services that fit the needs and demands of its citizens. In general slums in Kenya emerge due a combination of following effect (Candiracci and Syrjänen 2007):

- rural-urban migration
- increasing poverty and inequality
- the high cost of living
- marginalisation of poor neighbourhoods
- the inability of the poor to access affordable land and housing
- insufficient investment in new low-income housing
- poor maintenance of the existing housing stock

Exactly how many people living in slum is often hard to estimate due to slums complex character and nature, and the given numbers are often based on estimations (KNBS 2012a). Table 1 below is showing Kenya’s urban, formal and informal settlement population estimated by the Ministry of Housing. According to Candiracci and Syrjänen (2007) more than 70 percent of the total urban population in Kenya are living in slums and informal settlements. However, according to the 2009 Population and Housing Census only 15 percent of the total urban population is living in these environments (KNBS 2012b).

**Table 1: Urban, Formal and Informal Settlements Population by Province, 2009 (KNBS 2012b)**

Province	Total urban population	Formal settlements population	Informal settlements population	% of informal settlement population	% of total informal settlements population
<b>KENYA</b>	<b>12,023,570</b>	<b>10,221,871</b>	<b>1,801,699</b>		
Nairobi	3,109,861	1,985,402	1,124,459	36.2	62.4
Central	1,501,343	1,477,343	24,000	1.6	1.3
Coast	1,421,511	1,132,461	289,050	20.3	16
Eastern	1,192,025	1,168,376	23,649	2	1.3
North Eastern	408,591	405,046	3,545	0.9	0.2
Nyanza	1,334,991	1,147,824	187,167	14	10.4
Rift Valley	2,356,490	2,218,012	138,478	5.9	7.7
Western	698,758	687,407	11,351	1.6	0.6

### 4.3 Kibera

Nairobi accounts for the majority, 62,4 percent, of the country’s total slum population (KNBS 2012b). According to national reports, around 1,12 million people living in slum environments in the capital and with a total population of 3,11 millions this indicates that 36,2 percent of the Nairobi population living in slums (KNBS 2012b). According to Amnesty International (2009) however approximately 2 million people living in Nairobi’s slums where the settlements occupy only 5 percent of Nairobi’s residential area and only 1 percent of all land in the city.

Kibera, Mathare, Mukuru and Korogocho are the most known informal settlements in Nairobi (KNBS 2012a), where Kibera is the largest (UN-Habitat 2003). Kibera, which occupies a total of 250 hectares, consists of 12 villages and is located 7 km southwest of Nairobi city centre (Meredith and MacDonald 2014).

Kibera are, according to the 2009 Population and Housing Census, housing a total of 170 070 slum dwellers (KNBS 2012b). However, this number differs between different agencies and organizations. According to the UN (2003) the settlement habitat around 400 000 people (UN-HABITAT 2003) while other reports has stated that the total population reaching over a million (Meredith and MacDonald 2014). Regardless the absolute true number, the consequences of the rapid urbanization is easy to see where the Kibera population increased from 3000 to, according to APHRC, approximately 300 000 between the years 1960 to 1999 (APHRC 2014). The problems in the settlements are obvious and easy to recognize. Kibera is a very poor area and is characterized by the lack of basic services such as access to clean water and sanitation, inadequate garbage disposal, secure of tenure, adequate infrastructure and housing. Crime rates and health problems are high, education level is low and there are major problems with unemployment and insecurity (Meredith and MacDonald 2014).

### 4.4 Kenyan Slum Upgrading

The Kenyan Slum Upgrading Program is a collaborative initiative, initiated in 2001, between Government of Kenya and UN-HABITAT. With help from several relevant actors and partners the program aims to address the issues and problems with Kenyan slums (Syrjänen

2008). The overall aim is to “improve the livelihoods of at least 5.3 million slum dwellers in Kenya by the year 2020” (Candiracci and Syrjänen 2007). Besides UN-HABITAT and the Government of Kenya other relevant actors involved are the local authorities, local communities, civil society organisations, NGOs, and the private sector.

In order to reduce poverty and to contribute in the work to achieve the established global goals, the main objective with the program is to improve the livelihoods of people living and working in slums and informal settlements through housing improvements, income generation, and the provision of security of tenure and physical and social infrastructure (Candiracci and Syrjänen 2007). In a participation content, the aim of KENSUP is inclusive participation with the purpose to increase empowerment, capacity building, and sustainability. It also highlight the importance of recognize the diversity of the community actors and to not treat the communities as one homogenous group (Syrjänen 2008).

The program is executed and managed by the Government of Kenya and the Ministry of Housing implement the program together with the local authorities. UN-HABITAT, the civil society, local communities, and the private sector provide expertise and give assistance if needed and complement their efforts (Syrjänen 2008).

## 5 Empirical findings

---

Stakeholder management and community participation plays important roles in today's project management. In order to provide successful projects, managers must be well aware of and consider the groups, organizations and individuals that can affect, or is affected by the organization and its decisions (Freeman 2010). In today's environment however it's not enough to only identify a project's stakeholders (Mitchel et al 1997). Managers must to a higher extent understand the stakeholders and the organisations environment and correctly identify stakeholder information such as relevant interests, needs, concerns, their position, and what impact, influence or power they have on the project. Otherwise there is a great risk that relevant stakeholders are misunderstood, neglected or wrongly treated. It can also lead to ineffective use of resources since valuable local knowledge and expertise will be unidentified.

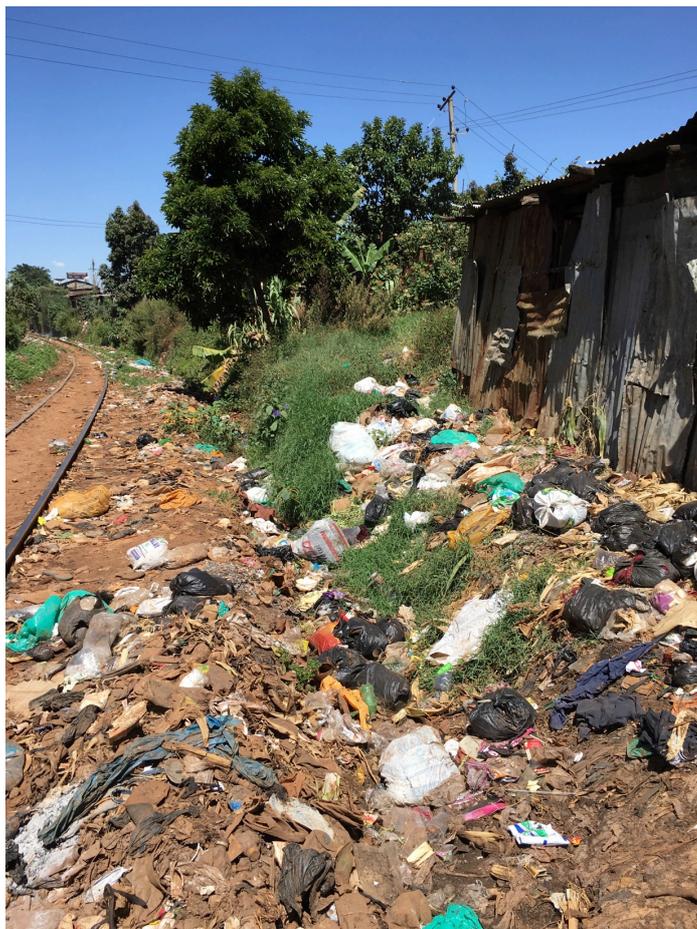
Slums are very complex environments that habitat a variation of stakeholders with various interests, needs, demands, knowledge and expertise. Suitable stakeholder management can to a higher level ensure that provided areas reflect the need and demands of the community. In order to gain higher understanding on the impact stakeholder management and community participation have in slum upgrading projects, a field survey was conducted in March 2016, where 31 Kibera residents were interviewed through semi-structured questionnaire (see appendix 1) and which later participated in a workshop (see appendix 2). To increase the study's reliability, certain diversity in the survey could be ensured by involving people of all ages and by recognizing different types of 'groups. Different groups were identified in collaboration with Michael and Trevor. A written invitation letter (appendix 3) was then handed out to possible participants, identified with the purpose to obtain high diversity of the respondent group. Identified groups and the spread of the respondents' age and gender can be seen in table 2 and 3.

### **Kibera today**

Kibera is characterised by its lack of basic services, poor sanitation, bad access to clean water, and inadequate garbage collection and infrastructure (see figure 14-17 for pictures from Kibera). Unemployment, lack of security, lack of secure of tenure and criminality is also widely spread in and around Kibera. The settlement is also segregated and isolated from other parts of Nairobi and even if some improvements have take place during the last couple of years there's still a lot of work to do. However, the research can show some positive sides of the settlement as well. First of all, Kibera can provide a cheap and affordable life. Compared to other parts of Nairobi, housing are affordable and food, activities, events and services are cheap. Secondly, Kibera is centrally located in Nairobi, which gives citizens in Kibera good accessibility to the services that is provided by other parts of the city. Kibera are pretty unique in that matter since slums tend to emerge in the outskirts of cities. The third positive that was discussed was the strong social relationships within the settlement. The community tend to put great value to family, friends, relatives and neighbours, resulting in strong social relationships and good spirit among the citizens.



**Figure 14: High density and overcrowded (authors picture)**



**Figure 15: Poor garbage disposal (authors picture)**



Figure 16: Poor sanitation and hazardous and unhealthy living conditions (authors picture)



Figure 17: Inadequate infrastructure and poor housing (authors picture)

The daily life in Kibera is not that different from other parts of Nairobi. People are working, pay rent, spend time with friends and family, playing football, making music and art, are involved in different community groups and goes to church. Kibera as an urban settlement provides grocery stores, bank systems, cinemas, hairdressers, butchers, clothing stores, mechanics, restaurant, manufacturing, nightclubs and other services that you normally find in other parts of Nairobi.

A frequently discussed subject during the interviews and the workshop was a road construction that had took place in Kibera. The empirical data gained from the interviews and the workshop shows a general and comprehensive discontent towards the project with several people affected directly or indirect. First of all, to make room for the new road, several people were forced away from their homes, friends, and families, with no compensation or alternative resettlement offered. Evicted people witnessed that no one didn't care to consult with them nor invited them to participate or get involved in the project. Affected entrepreneurs stated that they not only lost their homes and relations, but also their business. Children and youths stated that friends were forced away to new schools. However, the road construction it self was seen as an encouraging and needed project that has increased the accessibility, security and business opportunities along the road. The problem is rather that lack of adequate communication, inefficient information flows, and the general lack of community involvement. Another issue discussed during the survey was the high rents for new housing and relocation apartments. Respondents stated that the new houses come with high rents not affordable for the beneficiaries. Subletting has become a common phenomenon and the people who were supposed to move to the new apartments are instead moving back to their old housing.

### Respondents

For the field survey, a total of eleven 'groups' were highlighted as groups that in certain ways may have specific impact or interest in, or which get affected by, the on going slum upgrading. Ten of these groups are presented in table 2 below, and in addition to these, 'women' were also considered as a group. The field survey's aim was to generate and provide relevant information from the participants, such as most urgent interests, concerns, demands, skills and expertise as well as the respondents overall thoughts, ideas, and knowledge on slum upgrading in general and participatory strategies in particular.

**Table 2: Respondents (group and gender)**

Respondents/Group	Gender		Total
	Male	Female	
Community leader	3		3
Elderly	2		2
People with disabilities	2	1	3
Entrepreneurs	2	2	4
Kids	1	1	2
Landlords	2		2
Tenants	3	5	8
Structure owner		1	1
Youths	4	1	5
Teacher	1		1
	20	11	31

**Table 3: Respondents (age and gender)**

Age	Gender		Total
	Male	Female	
0-15	1	1	2
16-25	8	2	10
26-35	5	5	10
36-45	3	3	6
46-55			0
56-60	2		2
Over 60	1		1
	20	11	31

**Interests, concerns, demands, skills and knowledge**

Respondents were asked about life in Kibera, about crucial improvements and about the overall condition of their neighbourhood in order to create understanding on stakeholders most urgent needs, concerns and demands. The information was compiled and later divided into hard and soft needs and interests where hard describes physical related improvements and soft describes more psychological and social related improvements.

**Hard**

Improved housing, sanitation, security  
 Improved garbage disposal  
 Better access to clean water  
 Health facilities  
 Education (better access to schools)  
 Improved infrastructure  
 Electricity  
 Integrate Kibera

**Soft**

Security (work against crime)  
 Increase employment  
 Community participation  
 Empowerment of the community  
 Sensitization  
 Create awareness  
 Education  
 Improved transport network

Besides the general needs and concerns above the respondents also possess group specific interests. Entrepreneurs for example have interest in the business environment, people with disabilities and elderly want to ensure areas availability and accessibility, structure owners and tenants have interest in decisions and projects that affect housing structures, teachers and kids have interests in project that have impact on the school environment etc.

There is no lack of local skills, knowledge and expertise within the settlement. The community possess for the project valuable data such as knowledge on geological conditions, cultural differences, religion, local materials and designs, most urgent improvements, alternative construction techniques, and other information that could be of great value for the project execution. The expertise within the community is also wide spread where the community can provide with expertise that in general can be found in other parts of Nairobi such as construction workers, builders, designers, mechanics, church leaders, artists, community leaders, manufacturers, and neighbourhood representatives.

### **Challenges, Critics, and Problems**

A majority of the respondents had been affected by finished or present projects. Despite the high proportion of affected actors within the community, few have actually been involved or participate in any slum upgrading related activities. The study can show that the majority of the respondents had never even been invited to participate or get involved in the projects. Respondents had been affected, both direct and indirect, by the on going slum upgrading through:

- forced evictions (to make room for construction)
- relocations do decanting site (in wait for new upgraded housing)
- kids and children are forced to away to new schools
- lost or degraded business for entrepreneurs
- disturbance
- friends, neighbours, family, relatives are moved away from each others

Despite these affects and negative impacts, the survey can show that there is a general positive attitude towards the slum upgrading in theory. The projects have big potential in improving the life conditions within the settlement, increase the spirit in neighbourhoods and make areas more integrated. Some respondent's state that the slum upgrading has increased their living conditions through improved housing and sanitation, better access to clean water and improved security and electricity, more health facilities and better and improved roads. However, there is a widespread discontent in some areas of the slum upgrading where following challenges and problems were highlighted as particular vital:

- Lack of participatory/involvement strategies
- Ineffective slum upgrading
- No cooperation between owners and the community
- Lack of communication between owners and the community
- Lack of communication within the community
- Lack of adequate information distribution
- Lack of access to relevant upgrading related information
- Corruption

According to the respondents the slum upgrading is very slow, inefficient and unclear, where some projects takes very long time, while others are not even completed. People emphasised that it's often unclear what exactly going on in the projects, particular from the Government side. Transparency and insight are low and the lack of efficient communication channels has led to a feeling of hopelessness and exclusion from the projects. Following areas were highlighted as particular important for slum upgrading to be successful:

- Utilize local knowledge and expertise
- Sensitization
- Create awareness
- Improved participation and involvement strategies
- Improved communication and information
- Community mobilization
- Humble project owners and managers

### **Information and communication**

Information on slum upgrading is exclusively perceived via community meetings and through friends. There is a positive attitude within the community regarding the community meetings, which according to respondents have an important role with great potential to act like an efficient communication channel between the community and project owners. In the absence

of these channels however, it's difficult to find or obtain slum upgrading related information. The lack of reliable and relevant slum upgrading information, the lack of communication between owners and the community, as well as the lack of appropriate communication channels was highlighted as major problems in need of actions.

### **Participation**

The survey can show that there is a general positive attitude towards community participation. Yet, respondents complain about the lack of appropriate strategies, inefficient administration, and lack of cooperation between owners of the project and the community. It's easy to see the widespread mistrust among the stakeholders in participation related areas and the need of more suitable and efficient processes and strategies are obvious.

The study shows that relatively few respondents have been involved in any participation related activities. This is due to different reasons. First of all, several people state that they don't know how to get involved due to the lack of relevant and reliable information. Other stated that they didn't know about the opportunity, since no one ever asked or invited them. This in turn has created a feeling that involvement activities are not necessarily for them. At last, people whom been involved witness of inadequate stakeholder management and involvement processes where it's hard, if not impossible, to make an impact or influence.

The feeling of mistrust towards the on going slum upgrading is obvious. Respondents feel excluded from the projects and there is a perception that outsiders don't listen to the community and that the citizen's opinions are never taken into consideration. This has in turn lead to a situation where communities feel sceptical towards projects and a general feeling of hopelessness. The fact that some upgrading projects are never finished or take unrealistic long time only increases the discontent among the stakeholders.

Respondents highlight the importance of involving the community in the early stages of projects. Especially planning and decision-making was discussed as vital phases and activities but the general view was as early as possible. If people are involved early there is a greater chance that the implementation and other phases are well suited for its purpose and that the finished project will fit the needs and demands of the community. Later in the projects it's often to late to influence important areas such as planning, implementation, decisions on different methods and material, alternative construction techniques, or the design.



# 6 Analyse

---

## 6.1 Stakeholder identification

### 6.1.1 Stakeholder identification

In the general literature, the community is often referred to as a stakeholder group in itself (Hamdi and Goethert 1997; Freeman 2010). This study however will analyse the group further and identify, highlight and distinguish different types of actors that exist within the community. Initially, when analysing and studying the originally identified stakeholders in table 2, some observations have been made. It's true that these groups are all relevant in the on-going slum upgrading but it depends on the project and its aims, goals and purpose. These groups are only important to consider as stakeholders in some projects while they can be irrelevant in others. Instead of analysing these groups, which in turn would require a project to observe, this study seeks a more general identification process that can be used in any kind of project. For this purpose, the community actors are distinguished through their given interests, community role, and their possession of valuable knowledge, skills, and expertise. The study proposes three stakeholder attributes, *resources*, *activeness*, and *relevance*, which in turn enable a more general analysis and mapping of the community. These attributes were developed on the basis of the empirical data and on the fact that the proposed method should be able to function in all types of projects. The attributes' relation to the empirical data, their purpose and strengths is explained in detail below.

Resources are stakeholders that possess valuable expertise, knowledge, and skills that could be of great value for the project's execution. The empirical study can show a positive attitude to get involved and contribute with labour when it's possible. Project managers can to some extent, by considering the community as a resource, address one of the major problems within Kibera; unemployment. It can also increase empowerment of the project and the motivation to maintain the finished product. Allowing the community to act as resources can also create a more positive attitude towards the project as well as letting the community and project owners to share the project cost. Resources can play important roles particularly in the design and implementation stage where the community can contribute with labour in various areas such as development, manufacturing and construction. However, depending on project type and methods these groups may need training to be able to contribute as a resource. Designers, construction workers and manufacturers are examples of professional resources but the community may also contribute in areas that don't require any expertise. Digging, carrying material, garbage disposal, and transportation are all typical activities where the community can act as a resource.

Active stakeholders are stakeholders with some sort of mobilization abilities and leadership. Community mobilization was frequently discussed as a vital process in slum upgrading in order to put pressure on the project managers and ensure that the project considers the community's interests. The active stakeholders can have a big impact in slum upgrading since they have the potential to turn the community against the project if managers neglect the groups as well as increase or maintain a good attitude towards the project if they feel that the project correctly considers their interests. Typical active stakeholders in slum upgrading projects are community leaders, church leaders, neighbourhood representatives, and interest group representatives.

The attribute relevancy takes into account the actor's interest and whether it's relevant or not for the project objectives. Actors that possess the attribute relevancy may have a specific relevant interest in the project, regardless if they are beneficiaries of the project or not, and are therefore positive to provide with relevant, valuable and important information on specific

issues. Actors with such interest are important for the project execution since it to a greater extent can ensure that the project is well suited for it's users. Instead of looking at landowner, tenants, entrepreneurs, and people with disabilities as specific groups, this attribute enables a more general analyse of the community. As mentioned earlier, different project affects different groups and the project type determines whether an actor is relevant or not. This implies that all groups in table 2 are potential relevant actors. Considering such stakeholders can increase the projects sustainability and ensure that the project is well suited for its purpose. By neglecting these groups however, project managers can only develop areas they think will suit the community. Actors that possess relevancy will in the analysis be referred to as key actors.

In addition to these groups, beneficiaries of the project and residents in vicinity will also be included in the analysis and considered as community stakeholders. Following community-based stakeholders can therefore be summarized:

- Beneficiaries
- Residents in vicinity
- Representatives/Leaders
- Resources
- Key actors

### **6.1.2 Stakeholder information**

#### ***Interest, needs and demands***

There is a major variation of interests within the community due to individual preferences, local conditions and standards, as well as the diversity of the population. Different areas of Kibera are in need of different improvements where one area is in great need of housing and sanitation while other areas struggles with acceptable roads and health facilities. The variations is also due to individual preferences and how people prioritise different needs where a good house for person A not necessarily is a good house for person B. The community's needs and concerns, which were discussed during the interviews, were mostly improvements essential for a decent, healthy and safe life. In addition to these more general needs, different actors will also have specific interest in the project depending on which group the actor represent. Key stakeholders, representatives, resources, beneficiaries and residents in vicinity have all different stakes and interest in the project and project managers must be well aware of such interests as well.

Project that has specific impact on housing structures for example entails that structure owners have certain interests and possess potential valuable knowledge that managers must pay attention to. Projects that focusing on schools means that youths, teachers, and students will have specific relevant interest in that given project. These are groups that possess the attribute relevancy and are referred to as key actors. Resources want to ensure that their skills are utilized to the greatest extent possible while representatives have interest in ensuring that the project considering the group they represent and that they possess information that may be demanded by the group. Beneficiaries want to ensure that the project is demanded and well suited. Residents in vicinity want to make sure that managers considering the impact the project have on their daily life and that they to the greatest extent possible avoiding negative interfering.

#### ***Skills, expertise, and local knowledge***

Local expertise and skills that exists within the community can be of great value for the projects success. It's important to be well aware of that the community possess such skills and expertise to ensure that the community is utilized as effectively as possible. In addition to this, the community possess valuable local information that is complicated if not impossible for project planners to obtain without the help from the community. Information on

geological conditions, alternative materials and constructions techniques, as well as knowledge on cultural, religious, and tribal differences, are all important information valuable for project managers in order to investigate the projects possibility and increase the projects success.

To ensure projects possibility and make sure that possible resources are utilized as effectively as possible these types of skills, knowledge and information can't go unnoticed. The attribute resources was proposed to highlight the importance and potential such actors have in the projects execution.

### ***Motivation and attitude***

There is a general positive attitude towards slum upgrading projects and participatory strategies. However, inefficient projects, lack of cooperation between community and the owners, lack of efficient participatory strategies, and a general poor flow of reliable, relevant and adequate information, has decreased some of the spirit within the community and turned some of the actors against certain project. It's easy to see the importance reliable information exchange between managers and the community have in such projects. The community is often positive towards the project it self in the beginning but this can easily change throughout the project if they feel neglected or misunderstood.

### **6.1.3 Stakeholder impact analysis**

Mapping and classification of stakeholders can be carried out in many different ways (Savage et al 1991; Mitchel et al 1997; Johnson and Scholes 1999; Olander 2006). For this study, the 'stakeholder impact index' developed by Olander (2006) have been adapted to mapping the stakeholder influence based on the empiric data. The 'stakeholder impact index' will be produced for each identified stakeholder in the different stages of a project; initiation, planning, design, implementation, and maintenance. The produced 'stakeholder impact index' will then act as the basis when developing a participatory strategy suitable for the relevant stakeholders.

### ***Stakeholder impact index***

By considering the empirical data and take into account the actor's interest in specific phases the stakeholder impact index can be developed for each group throughout the whole project. Proposed value for vested interest and potential impact, the actor's position towards the project, as well as the actor's possession of attributes is based on the empirical study. As mentioned earlier, a high positive stakeholder impact index implies that the actor in that phase can have big impact if the actor's interest or demand is addressed. The different stakeholder attributes was considered to be of equal importance. However, only representatives (to put pressure on project managers) and resources (to actually act on their interest to provide with labour) were considered to be able to possess power. Below the stakeholder impact index is developed for each group in the different phases. Each groups stake or interest is also presented in the different phases.

## Initiation

**Table 4: Stakeholders stake/interests in the initiation phase**

Stakeholders	Stake	Vested interest	Potential impact
Beneficiaries	Ensure that the proposed project is what they need and demands, Better housing, sanitation, garbage disposals	High	High
Residents in vicinity	Question the project, how will the project affect us?	Medium	Medium
Representatives	Ensure that the project is what the community and their group wants	Medium	High
Resources	Put themselves available	Low	Medium
Key actors	Ensure that the project it self and its aims and objectives are suitable, needed and demanded	Medium	High

**Table 5: Stakeholder impact index in the initiation phase**

Stakeholder	Attribute			Class	A	Stakeholder Value Index				
	Power	Legitimacy	Urgency			v	i	Pos	ViiI	SII
BENEFICIARIES		0,3	0,3	Dependent	0,6	5	5	1	1,00	0,60
RESIDENTS IN VICINITY		0,3	0,3	Dependent	0,6	3	2	-0,5	0,49	-0,15
REPRESENTATIVES	0,4	0,3		Dominant	0,7	3	4	1	0,69	0,48
RESOURCES			0,3	Demanding	0,3	1	3	1	0,35	0,10
KEY ACTORS		0,3	0,3	Dependent	0,6	3	4	0,5	0,69	0,21
s									<b>SIIprj</b>	1,25

Beneficiaries, representatives and key actors want to ensure that the project is what community wants and that established goals and objectives are relevant, needed and suitable. Beneficiaries are the primary user of the finished product why their vested interest and their level of potential impact should be considered as the highest possible. Residents in vicinity are affected by the project and have a vested interest in knowing about how the project will affect them. This is the only group that may have a negative attitude towards a project. Resources don't have a particular impact in this stage but they may put themselves available for later use.

## Planning

**Table 6: Stakeholders stake/interests in the planning phase**

Stakeholders	Stake	Vested interest	Potential impact
Beneficiaries	Ensure that the planning considering the most urgent needs and demands and focusing on relevant areas	High	High
Residents in vicinity	Ensure that the planning consider the residents in vicinity regarding noise, disturbances and other disorders	Medium	High
Representatives	Ensure that planned details, activities, methods are planned on the basis of the community and the group they represent	Medium	High
Resources	Ensure that the planning considering their expertise. What can we help with? Where can we contribute? What methods etc. are we familiar with	Low	High
Key actors	Ensure that planned details, activities, methods are well suited for their group, so they are able to utilize the finished product	Medium	High

**Table 7: Stakeholder impact index in the planning phase**

Stakeholder	Attribute			Class	A	Stakeholder Value Index				
	Power	Legitimacy	Urgency			v	i	Pos	Vill	SII
BENEFICIARIES		0,3	0,3	Dependent	0,6	5	5	1	1,00	0,60
RESIDENTS IN VICINITY		0,3	0,3	Dependent	0,6	5	3	1	0,77	0,46
REPRESENTATIVES	0,4	0,3		Dominant	0,7	3	4	0,5	0,69	0,24
RESOURCES		0,3	0,3	Dependent	0,6	2	4	1	0,57	0,34
KEY ACTORS		0,3	0,3	Dependent	0,6	3	5	0,5	0,77	0,23
									<b>SIIpro</b>	1,88

In this phase, beneficiaries, representatives and key actors have a high interest in ensuring that the planning is suitable for the purpose of the project. These groups possess information, experience and knowledge that is of great value to ensure that planned details, materials, and functions are what the community demands. These groups are therefore considered to have high potential impact in this phase. The residents in vicinity have a vested interest to ensure that the planning considering noise and other disturbances that could affect the residents in vicinity negative. They have a relatively high potential impact since they can provide with information and knowledge on how to avoid such disorders. Resources can have particular impact in the choice of different materials, construction techniques and designs by state which processes they are familiar with.

## Design

**Table 8: Stakeholders stake/interests in the design phase**

Stakeholders	Stake	Vested interest	Potential impact
Beneficiaries	Ensure that the details are well suited, demanded and appreciated	High	Medium
Residents in vicinity	No particular stake	Low	Low
Representatives	Ensure that planners considering the group they represent when developing details	Medium	Medium
Resources	Developing details	Medium	High
Key actors	Ensure that the details are well suited for their group	Medium	Medium

**Table 9: Stakeholder impact index in the design phase**

Stakeholder	Attribute			Class	A	Stakeholder Value Index				
	Power	Legitimacy	Urgency			v	i	Pos	ViiI	SII
BENEFICIARIES		0,3		Discretionary	0,3	5	3	1	0,77	0,23
RESIDENTS IN VICINITY		0,3		Discretionary	0,3	1	1	0	0,20	0,00
REPRESENTATIVES		0,3		Discretionary	0,3	3	3	0,5	0,60	0,09
RESOURCES	0,4	0,3	0,3	Definitive	1	3	5	1	0,77	0,77
KEY ACTORS		0,3	0,3	Dependent	0,6	3	3	0,5	0,60	0,18
									<b>SIIpro</b>	
									<b>j</b>	1,28

Residents in vicinity don't have any particular stake or interest in this phase. Beneficiaries, representatives and key actors have similar interest and potential impact as in the planning phase; to ensure that the developed designs are suitable and demanded by the community. Resources have big potential impact in this phase since they, as the definition implies, can contribute with labour, ideas and techniques for developing needed details.

## Implementation

**Table 10: Stakeholders stake/interests in the implementation phase**

Stakeholders	Stake	Vested interest	Potential impact
Beneficiaries	Want a fast, efficient and adequate implementation	High	Low
Residents in vicinity	Minimal Noise and mess. Also an efficient, fast and adequate implementation. Want information about delays and other obstacles.	High	Low
Representatives	Ensure that the implementation continue to consider the group. Wants information and communication regarding possible delays and obstacles.	High	High
Resources	Provide with labour, expertise, knowledge, and skills. Utilized as a resource	High	High
Key actors	Ensure that the implementation continue to consider the group. Can if needed provide with relevant information, and knowledge in certain areas.	Medium	Medium

**Table 11: Stakeholder impact index in the implementation phase**

Stakeholder	Attribute			Class	A	Stakeholder Value Index				
	Power	Legitimacy	Urgency			v	i	Pos	ViiI	SII
BENEFICIARIES		0,3	0,3	Dependent	0,6	5	1	1	0,45	0,27
RESIDENTS IN VICINITY		0,3	0,3	Dependent	0,6	4	2	-1	0,57	-0,34
REPRESENTATIVES		0,3	0,3	Dependent	0,6	4	4	0,5	0,80	0,24
RESOURCES	0,4	0,3	0,3	Definitive	1	4	5	1	0,89	0,89
KEY		0,3			0,3					
STAKEHOLDER				Discretionary		3	3	0,5	0,60	0,09
									<b>SIIpro</b>	1,15

Beneficiaries want a fast and efficient execution of the project with minimal delays and obstacles while residents in vicinity want an implementation without noise, mess and disturbances. None of these groups however have any relevant potential to act on these interests since it's other groups that undertake the implementation. Resources have, as in the design phase, big potential impact since they can contribute with labour, ideas and knowledge. Representatives have relatively big potential impact since they can put pressure on project managers that the implementation considering relevant stakeholders and ensure that relevant groups are informed on possible delays and other obstacles. Key actors have a vested interest to ensure that the implementation considering the groups needs and demands and can have potential impact on the implementation by providing with relevant information and knowledge.

## Maintenance

**Table 12: Stakeholders stake/interests in the maintenance phase**

Stakeholders	Stake	Vested interest	Potential impact
Beneficiaries	Ensure that the product is well maintained. Can, if possible, undertake some maintenance activities.	High	High
Residents in vicinity	Ensure that the product is well maintained.	Medium	Low
Representatives	Sensitize the community. Why is it important to maintain certain products? Why is sanitation important etc	Medium	High
Resources	Can provide with knowledge on the product and teach, and sensitize the community about maintenance activities	High	High
Key actors	Can provide with key knowledge on the product and why maintenance is needed	Low	High

**Table 13: Stakeholder impact index in the maintenance phase**

Stakeholder	Attribute			Class	A	Stakeholder Value Index				
	Power	Legitimacy	Urgency			v	i	Pos	Vill	SII
BENEFICIARIES		0,3	0,3	Dependent	0,6	5	5	1	1,00	0,60
RESIDENTS IN VICINITY		0,3		Discretionary	0,3	3	2	0,5	0,49	0,07
REPRESENTATIVES	0,4			Dormant	0,4	3	4	1	0,69	0,28
RESOURCES	0,4	0,3		Dominant	0,7	4	5	1	0,89	0,63
KEY ACTORS		0,3		Discretionary	0,3	2	4	1	0,57	0,17
									<b>SIIpro</b>	
									<b>j</b>	1,75

Beneficiaries are the primary users of the finished product and have due to this a high vested interest in the on going maintenance. Potential level of impact is also considered high for this group since they to some extent (if possible) can undertake the maintenance themselves. Residents in vicinity will also have a vested interest in the maintenance since it's affect the view of their neighbourhood. Some projects may also consider residents in vicinity as users of the finished product (for example public restrooms, garbage disposal etc). Groups that been involved in the implementation, or in other ways have knowledge about the product, its functions and required maintenance, have big potential impact in this phase. Resources and key actors can, if they have this possibility inform, sensitize and train the community about the maintenance of the product. Representatives may also have big impact in this stage, where they can inform and sensitize major and comprehensive parts of the community about the importance of maintaining products such as toilets, garbage disposals and water systems.

## 6.2 Community participation

Community participation can ensure that newly developed areas are well suited and for a cost the community are willing to pay. Participation is also important so resources can be efficiently utilized and that the community are well aware of the projects affects. The study can show that there is a huge variation of various interests within the community, which all needs certain attention and focus.

Beneficiaries have important roles to ensure that the project is what the community need and for a price they are willing to pay. Residents in vicinity are highly affected by the projects and neglecting this group can create unnecessary irritation and the group can form opposition. Resources have big potential to play important roles since they can contribute with labour, skills, knowledge and expertise, valuable for the projects execution and success, where the resources participation enables that the cost to some extent can be shared between the community and project owners. Representative's role in the upgrading project is to make sure that the project considering the group they represent and pay attention to their interests. If the given group is mistreated or neglected the representatives can easily turn the group against the project and form active opposition. This in turn can have negative impact on the project execution and the projects success. Key actors can to a great extent ensure that developed details, methods, materials, and constructions are well suited for a given group, such as people with disabilities, tenants, structure owners, or elderly. Without the help from key actors it's complicated if not impossible to develop areas suitable for the groups who later will use the area.

A suitable strategy for community participation has been developed based on Hamdi and Goethert (1997) framework, which been explained earlier in this study. Identified actor's roles and potential have been recognized throughout the project in order to highlight appropriate levels of participation in certain stages. Each phase will be explained in detail and a proposed model has than been developed based on this information.

### ***Initiation***

In order to develop achievable and well-suited objectives, some level of participation is needed in this phase. Without the community help it's impossible to establish relevant goals. Beneficiaries, representatives and residents in vicinity are highly affected by the initiation of a project. Beneficiaries of the project must be given influence in decision-making to ensure that the project's aim and objective focusing on right areas. Residents in vicinity are also highly affected and must be included, but not necessary on a high participation level. Representatives should also be involved in this stage so they can inform and sensitize their members about the project and its effects as early as possible in order to create awareness and mobilize the group. Key actors may be important, depending on the project type, to ensure that established goals are well suited for their group.

Resources are not relevant in this stage since the projects use of resources have yet been decided. But resources may in an early stage enlighten planners and managers about their existence and potential and put themselves available for later use. Resources shouldn't therefore in this phase be neglected even if the group doesn't have a particular role in this particular phase.

### ***Planning***

Beneficiary's participation in planning is important to ensure that planned activities and methods, and designs, are what beneficiaries and the community needs and demands. The community it self possess skills and local knowledge on different methods, materials and alternative construction techniques that could be of great value throughout the whole project. By considering such information in this phase stage and by choosing methods and techniques that the community are familiar with, the community's potential impact can increase in the implementation as well. However, planning it self often requires some sort of technical expertise and due to that full control participation would not always be feasible.

In the planning stage the need of resources is defined and it's important that potential resources and resource representatives are considered. Key actors can ensure that planned details and activities are well suited and achievable for the given group. Residents in vicinity and representatives don't have any particular role in the planning it self. However, it's

important that be aware of that planning decisions may affect these groups and it's therefore important to involve these groups as well.

### ***Design***

To design and develop details often requires expertise. However, the Kibera community consists of actors with various expertise, skills and knowledge that could be of great value in this stage. By involving the community in the design stage, local appreciated and well-suited designs can be developed and adapted. This in turn can generate unique projects and areas that the community can be proud of.

Beneficiaries as well as key actors can participate on a consultative level to influence planners and project owners in order to develop adequate and demanded designs. Resources can, if the planned design enables this, take full control in this stage and develop appropriate details by themselves. Relevant community-based organization actors, such as manufacturers of building materials, components and building elements, can have big impact in this stage and should be considered as resources. However, some designs and details may not be possible for the community to develop by themselves why a lower level of participation could be more appropriate.

### ***Implementation***

For some projects, the implementation can be a complicated and complex process that requires technical expertise. Other projects are simpler and could be executed by the community. A lot of employment and income activities is generated in the implementation stage and the community have valuable knowledge, expertise and skills that could be utilized. It's in the implementation stage where resources really can fulfil its potential and due to the high unemployment rates within Kibera it's important to really understand resources potential impact. Depending on implementation activities the community's participation level can vary from full control to none.

The implementation can be delayed or postponed due to specific incidents or obstacles. Different circumstances may also require changes in the implementation strategy and it's important that beneficiaries are well aware of such changes and delays to prevent unnecessary irritation and opposition. Representatives can easily turn members against the project if they feel that the project owners neglect the group or the community and it's important that these groups are well informed about the on going situation. Residents in vicinity are also highly affected by the implementation. To prevent unnecessary irritation it's important that project managers provide these groups as well with relevant and reliable information about implementation activities and possible delays and changes.

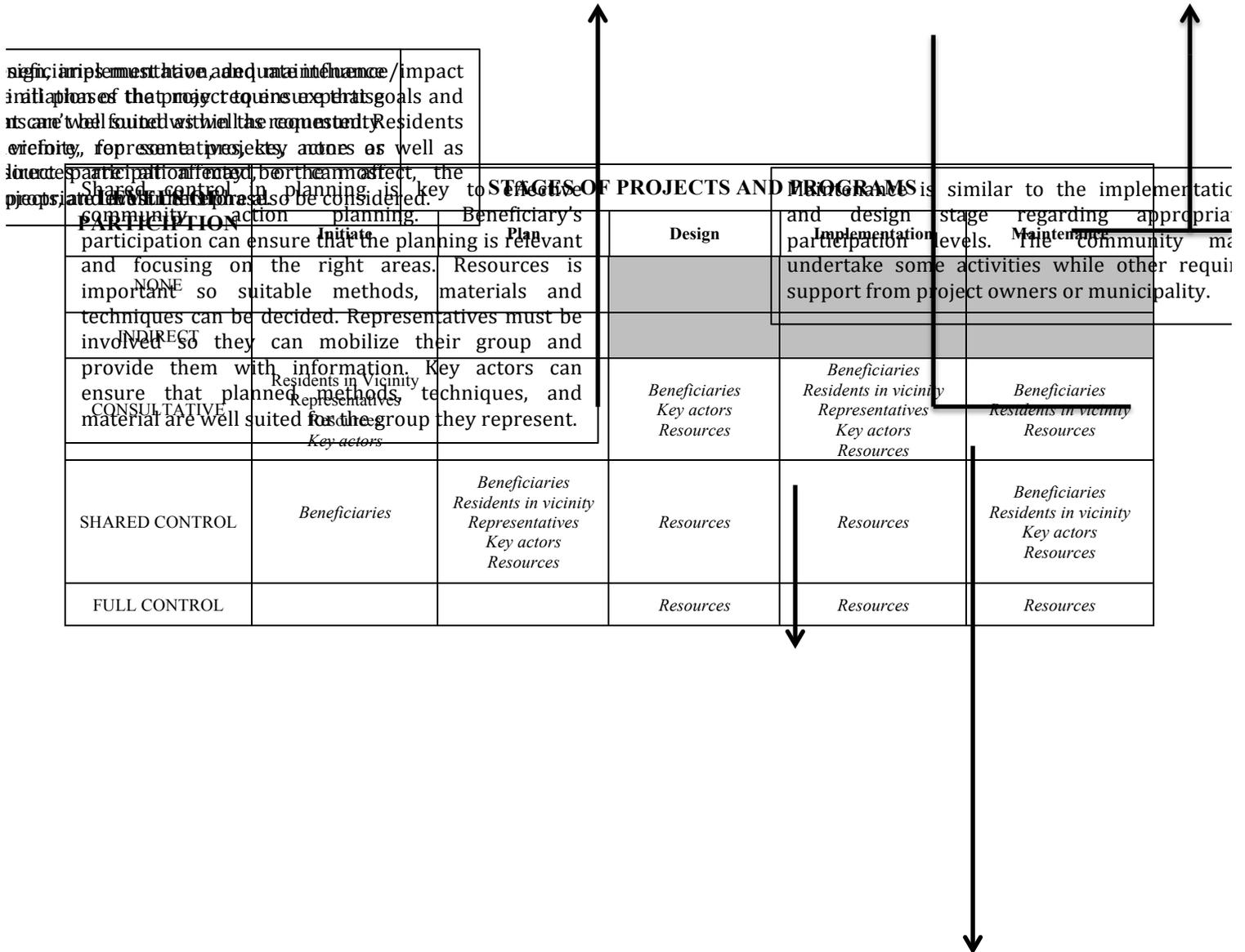
### ***Maintenance***

The finished product can often to a great extent be maintained by the community it self. However, the level of appropriate participation level will vary depending on the required activities. Municipality, managers and owners can undertake some of the maintenance where it's needed while others areas can be handled by the community. The appropriate level of participation can therefore, similar to the implementation phase, vary from none up to full control.

It's important to consider that this stage, similar to the implementation, have potential to create income-generated activities. Garbage disposal, maintenance of facilities, counter staff, and security are examples of areas that to some extent could be handled by the community. However, establishing such activities may require adequate planning and help from the municipality, at least from the beginning.

## Proposed model for community participation

Resources are by definition capable of taking full control of the implementation. However, some implementation requires expertise that not always can be found within the community. Residents in vicinity, representatives and beneficiaries are highly affected by the implementation and must be considered and informed about delays and other obstacles. Key actors may possess knowledge and information that could be valuable for the implementation.



Resources are the only group that can take full control in the design stage. Some detail development however may require expertise knowledge, why none or indirect participation may be more appropriate. Some details can be developed together with beneficiaries and key actors. Residents in vicinity don't play any particular role at this stage.



## 7 Discussion

---

When the stakeholder impact index for the identified stakeholders in this study was produced, the stakeholder position towards the project were mostly of a positive character. This was due to the empirical data, which indicated that there is an overall positive attitude towards the upgrading projects in general. What is important to be aware of however is that stakeholder's position can easily change due to inadequate management, which in turn can require new management strategies. Important and useful resources can withdraw their support and representatives can easily turn relevant and important groups against the project. Inadequate management of beneficiaries, key actors and residents in vicinity can raise dissatisfaction against the project and project managers will work under a lot of pressure and opposition.

It's also important to be aware of that the stakeholders proposed above can belong to more than one stakeholder group. Key actors and residents in vicinity for example can possess skills, knowledge or expertise that could qualify them as resources. Beneficiaries can possess information or skills that entails them to be used and considered as representatives, resources or key actors. This entails that proposed stakeholders could be further distinguished. Resources with key actors attributes could be considered as key resources and may need extra attention from project managers. There could also be actors that represent resources or key actors for example.

The fact that the study had limited resources, particular for the field survey it self, should also be emphasized. This study had by the time the field survey was undertaken a primary focus on obtaining as much data as possible where 'quantity' rather than 'quality' was in focus. If the stakeholder analysis is to be utilized by planners and managers it's important that the inputs are correctly identified and understood to a higher extent. To obtain and really understand data, such as stakeholder's relative power, vested interests and potential impact, requires comprehensive researches, field surveys and in depths interviews. Such data is particular complicated to recognize and correctly understand in a complex slum settlement such as Kibera. The interviews were conducted in an early stage of the study. The interviews were by that time mostly focusing on the community's general needs and concerns and their overall view on the on going slum upgrading. A more adequate stakeholder analysis could be carried out if the questions were more group specific and if each respondent were giving more time and attention. The obvious need of improvements in these settlements is clear (improved housing, sanitation, access to clean water), regardless how old you are, which gender you have, or which stakeholder group you represent. But how are the projects affects structure owners and their specific interests? What impact can elderly as a group have in such project? How can these projects improve the life for tenants? What factors have impact on their attitude towards a project? More group specific questions could generate data that, to a greater extent, reach beyond the general obvious interests, needs and demands and could generate valuable information for the stakeholder analysis. At last, to undertake an adequate and acceptably stakeholder analysis for a slum upgrading project, this requires a higher understanding of how the community in such settlements work, about the politics, and its history. This in turn requires further investigations, surveys and interviews with actors with knowledge on the subject.



# 8 Conclusions

---

## 8.1 Final conclusions

### **Who are the relevant community stakeholders in slum upgrading projects?**

Slum upgrading are in general comprehensive projects that affects several types of actors. This study however has only focused on the actors within the community. Three specific attributes have been proposed to enable a general analysis of the stakeholders that can be used in any type of project. Actors have in this study been distinguished by their relevancy, activeness and potential to act as a resource. Actors that possess the attribute *resource* have the ability and willingness to provide with labour and expertise throughout projects. The attribute activeness takes into account leaders, representatives, and other actors with mobilization skills. The last attribute, relevancy, considers the actors stake or interest in the project and whether it's relevant for the project objectives. Actors that possess relevancy have in this study been referred to as key actors. The different attributes have been explained more in detail in the analysis chapter of this study. In addition to the three attributes, beneficiaries of the project and residents in vicinity have also been analysed since they are actors that exists within the community.

This study have therefore identified following community based stakeholders:

- Beneficiaries
- Residents in vicinity
- Representatives
- Resources
- Key actors

### **Why are exactly these actors particular important to consider?**

Beneficiaries are the recipients of the project and are therefore important for project managers to consider and pay attention to. This in turn increase project managers ability to provide suitable areas for a price the community are willing to pay. Residents in vicinity and representatives are of major importance to take into account since they have the ability to form active and comprehensive opposition and create a negative attitude towards the project if managers' neglect or mistreat the group. Representatives and leaders of relevant groups have also mobilization abilities that could increase the community's impact and influence in the project. They have also great potential to act like a communication channel and sensitize the community. To benefit from such advantages, and prevent active opposition and negative attitudes, it's important that these actors are considered and treated correctly.

Resources are important to consider for efficiently use of available and potential resources so that the project cost to some extent can be shared between project owners and the community. To consider such groups can also be seen as a tool to increase employment within the community and increase the community's empowerment of the project. The key actors are important to consider since they to a great extent can ensure that projects, and planned methods, choice of material and designs and implementation strategy is well suited for the users.

### **Why is stakeholder management particular important in slum upgrading?**

Inadequate stakeholder management entails that relevant and important actors will be unidentified, neglected, or misunderstood, which in turn entails that valuable information, knowledge and skills will go unnoticed. Slums and informal settlements are in general complex settlements that habitat various different actors with a wide range of various

interests, needs and demand. What are obvious improvements for project managers is not necessarily what the community needs and complexity of slums increases these chances for misunderstanding.

It's also important to be aware of that different areas of a slum settlement is in need of specific improvement as well as habitat different types of actors. This entails that a successful project in area A is not automatically a suitable project for area B. It may be easy to recognize a slum as a homogenous settlement that are in need of certain improvements, regardless where.

The slum community, an already vulnerable, isolated and exposed group, is also through proper stakeholder management given a voice as well as a counterpart that listens to them. At last, adequate management of the community stakeholder's can to some extent increase employment. Unemployment is in general widely spread within such settlements and all possible solutions should be explored, developed and encouraged.

### **How should an adequate and for the community suitable participation strategy be developed and designed?**

This study has proposed a participation strategy, based on Hamdi and Goethert (1997) framework, particular suitable for managing community stakeholders. The proposed participatory strategy, which can be seen in the analyse chapter under '*Proposed model for community participation*', takes advantages of and ensure that each stakeholders potential and positives in different stages are correctly utilized.

### **How is adequate community participation increasing projects success?**

Beneficiaries and key actors participation is particular important to ensure that provided projects are suitable for the groups, actors, organizations, and businesses who will be using the given area. Slums are in general complex environment and these groups possess for the project valuable information, such as religious and tribal difference, most urgent needs and improvements, wanted designs, alternative materials, interest groups demands etc., which project managers in general lacks or struggle to identify by themselves.

Resources participation can to a greater extent ensure that construction techniques, designs, methods, materials etc., are planned and developed on the basis of the community and their ability to operate as a resource. By plan for and utilize local designs, methods, techniques, and materials to the greatest extent possible, the community can have major impact and influence in the implementation as well and undertake income-generated activities, such as construction activates, material manufacturing and detail development.

Representative's participation is important due to their ability and potential to provide relevant groups with reliable and relevant information. This in turn increases the projects transparency and the community feels more involved and relevant. Representatives can through participation involvement to a greater extent ensure that project managers consider the group they represent and that the group are well aware about the project affects, potential, positives, and negatives. If the community are well aware of such information it's easier for managers to maintained a positive and inspiring attitude towards the project.

Participation involvement of affected residents in the vicinity is important to ensure that the group is well aware on how the project will affect them so they in turn can prepare themselves. This in turn prevents unnecessary irritation and maintains or increases the group's attitude towards the project.

## 8.2 Further research

This study has developed a participatory strategy in theory. The practical implementation of such strategies however is a case for further research where required actors, alternative solutions as well as the implementation's cost in time and money can be evaluated. That research can then act as the basis to implement the proposed strategy in real life and the outcome and result can then be compared to other similar projects.

Another recommendation for additional research is to further investigate and in detail evaluate the proposed stakeholders; resources, representatives and key actors. In which ways can representatives act as a valuable communication channel? How should resources be employed and what different agreements can be made? Added reliable and relevant stakeholder information and data can to a greater extent ensure that projects utilize the actors potential and prevent negative impact, which in turn increases the projects success.

At last, further research should focus on and investigate alternative participation frameworks and different levels of participation. This study has proposed only one strategy, which in turn was based on Hamdi and Goethert (1997) framework with five given levels of participation. What other frameworks can be adapted in slum upgrading? Are there alternative levels of participation that would be more appropriate in such projects?

## 8.3 Summary

Above, the established research questions have been answered one by one. As a summary the study proposes three areas that are particular important to consider during slum upgrading projects in order to increase such projects success. Following key factors can be summarized as:

- Adequate stakeholder management
- Efficient participation
- Information and communication

To highlight the importance and emphasise the potential of the key factors proposed above they will be related to the earlier mentioned road construction project that was frequently discussed during the field survey.

### *Adequate stakeholder analysis*

Inadequate stakeholder analysis entails that important and relevant stakeholders and for the project valuable information will remain unidentified, be misunderstood or treated wrongly. Project manager's ability to correctly identify and analyse stakeholders and relevant stakeholder information is particular important in slum upgrading projects to ensure that local valuable knowledge, information, expertise and skills can be obtained. Slums are in general complex environments and managers general lack insight and proper understanding of such settlements. Stakeholder analysis help project managers to obtain valuable information on stakeholders that in the absence of such processes probably would be unidentified.

It's easy to see the lack of stakeholder analysis in the road construction project where relevant and important actors been neglected or misunderstood. For example, it's easy to question if entrepreneurs interests and concerns were considered since the project, which degraded or dissolved their business, lacked or didn't offer any alternatives solutions. Kids and youths had also been highly affected by the road construction since they were forced to start new schools. Degraded business and change of schools are examples of complicated issues and valuable stakeholder information, which is hard to address without adequate stakeholder analysis and stakeholder management. Neglecting the community in slum upgrading decreases the projects potential to improve the life conditions of already vulnerable and marginalized group.

### *Efficient participation*

To provide successful projects, it's important that the participatory strategy is customized to the given project and customized for the stakeholders. Appropriate level of participation in one project is not necessary the same in another and different projects consist of various stakeholders with different knowledge, interests, skills and expertise.

However, to be able to develop adequate and for the community suitable participation strategies it's important that the approach from outsiders is humble and inclusive rather than "we know best". By being open to new ideas and strategies, such as local construction methods, materials and local designs, project managers can to a greater extent include the community. It's also important to be aware of that the finished product generates processes that the community can be part of. Maintenance of new facilities, garbage disposal and security are endless processes that the community can undertake. The participation involvement doesn't necessarily ends when the project is finished.

Without the help from the community, outsiders can only develop projects they think will suit a given community. To ensure such project success the community must to some extent be

involved in the process and be able to influence decision-making. Projects that fail to meet the demands of a community are unsustainable and must be prevented. Such projects often come with good intentions but you can really question if project owners are aware of whom the projects are for. Adequate community participation plays a vital part in the work toward successful slum upgrading. If carried out correctly such processes and strategies can not only ensure that the project are well suited for the community, it can also increase employment, empowerment as well as the transparency and the insight and also ensure projects sustainability.

Adequate participation could probably address some of the problems and issues that were related to the road construction. If entrepreneurs and students were participating in the project they could enlighten planners about the issue and alternative solutions or compensations could be discussed and developed. Through sufficient participation, already vulnerable slum communities' are given greater influence, control and empowerment of their future and ensure that the projects are suitable and needed.

### ***Information and communication***

To prevent confusion and unnecessary irritation during upgrading projects it's important that there is an efficient, accessible and reliable information flow between project owners and the community. Without efficient communication and trustworthy information exchange there is a great risk that the community will feel excluded, create a general negative attitude towards the projects and form active opposition. If the community and outsiders don't communicate there will be a lot of confusion regarding the projects and probably a lot of unnecessary irritation. In comparison, if information is easy to access or that the community is provided with relevant and reliable information, the community will feel more included and there will be a more positive attitude towards the project.

The empirical data can show that there is a general lack of accessible, reliable and adequate information on slum upgrading and specific projects. Even if forced evictions and inadequate stakeholder management never should be accepted some of the irritation in the road construction could probably be prevented if there was a honest, relevant and reliable information flow between project managers and the community.



# References

---

- NE (Nationalencyklopedin) (1995) 16<sup>th</sup> book
- ALN (Africa Logistic Network) (2015)  
<http://africalogisticsnetwork.com/notizia-reviews/kenya-certificate-of-conformity-new-requirement-kenya-imports/>  
[2016-08-12]
- Amnesty International (2009) *Kenya – The Unseen Majority: Nairobi’s Two Million Slum-Dwellers*, Amnesty International Publications, London
- APHRC (African Population and Health Research Center) (2014) *Population and Health Dynamics in Nairobi’s Informal Settlement – Reports of the Nairobi Cross-sectional Slums Survey (NCSS) 2012*, Nairobi
- Arnstein, P.S. (1969) A Ladder of Citizen Participation, *Journal of the American Institute of Planners*, **35**(4), 216-224.
- Bourne, L. and Walker, D. (2005) Visualising and Mapping Stakeholder Influence, *Management Decisions*. **43**(5), 649-660.
- Candiracci, S. and Syrjänen, R. (2007) *UN-HABITAT AND THE KENYAN SLUM UPGRADING PROGRAM*
- Chinyio, E. and Olomolaiye, P. (2010) Introducing Stakeholder Management. Chapter 1. In Chinyio, E. and Olomolaiye, P., (eds) *Construction Stakeholder Management*, Blackwell Publishing Ltd. 1-12
- Cities Alliance (2016) *About Slum Upgrading*  
<http://www.citiesalliance.org/About-slum-upgrading>  
[2016-05-13]
- Donaldson, T. Preston Lee E. (1995) The Stakeholder Theory of the Corporation: Concepts, Evidence, and Implications, *The Academy of Management Review*, **20**(1), 65-91
- Freeman, R.E. (2010) *Strategic Management – A Stakeholder Approach*, Pitman Publishing Inc
- Goethert, R. and Hamdi, N. (1997) *Action Planning for Cities – A Guide to Community Practise*, John Wiley & Sons Ltd, Chichester
- Holme, I.M. and Solvang, B.K. (1994) *Forskningsmetodik – Om kvalitativa och kvantitativa metoder*, Translation by Nilsson, B. [Original title: *Metodevalg og metodebruk*], Studentlitteratur, Lund.
- Imperator, I. Ruster, J. (2003) *Slum Upgrading and Participation*, World Bank, Washington D.C.
- Johnson, G. and Scholes, K. (1999), *Exploring Corporate Strategy*, Prentice Hall Europe.
- Karlssen, J.T. (2002) *Project Stakeholder Management*, *Engineering Management Journal*, **14**(4), 19-24

KNBS (Kenya National Bureau of Statistics) (2012a) *Kenya 2009 Population and Housing Census - Analytical Report on Kenya Population Atlas, Vol. XV*, Ministry of State for Planning, Nairobi

KNBS (Kenya National Bureau of Statistics) (2012b) *2009 Kenya Population and Housing Census - Analytical Report on Urbanization, Vol. VIII*, Ministry of State for Planning, Nairobi

McElroy, B. and Mills, C. (2000) Managing Stakeholders. Chapter 42. In Turner, R.J, *Gower Handbook of Project Management*, 4<sup>th</sup> edition. Gower Publishing Limited. 757-777.

MDG (Millennium Development Goals) (2000)  
<http://www.un.org/millenniumgoals/environ.shtml>  
[2016-05-12]

Meredith, T. and MacDonald, M. (2014) *Kibera – Integrated Water Sanitation and Waste Management Project – Progress and Promise: Innovations in Slum Upgrading*, UN-Habitat

Merriam, S.B. (1994) *Fallstudien som forskningsmetod*, Translation by Nilson, B. [Original title: *Case Study Research in Education*], Studentlitteratur, Lund.

Mitchell, R.K. Bradley, R.A. and Wood, D.J. (1997) Toward a Theory of Stakeholder Identification and Saliency: Defining the Principle of Who and What really Counts, *The Academy of Management Review*, **22**(4), 853-886

MOSFP (Ministry of State for Planning) (2008) *First Medium Term Plan, 2008-2012 - Kenya Vision 2030*, Ministry of State for Planning, Government of the Republic of Kenya, Nairobi

MOSFP (Ministry of State for Planning) (2013) *Second Medium Term Plan, 2013-2017 – Transforming Kenya: Pathway to Devolution, Socio-Economic Development, Equity and National Unity - Kenya Vision 2030*, Ministry of State for Planning, Government of the Republic of Kenya, Nairobi

Ndukui, C.E. (2013) *Challenges of Slum Upgrading for Urban Informal Settlements; Case of Soweto East Village in Kibera Informal Settlements*, University of Nairobi

Olander, S. (2006A) *External Stakeholder Analysis in Construction Project Management*, Lund University, Sweden

Olander, S. (2006B) *Stakeholder Impact Analysis in Construction Project Management*, Lund University, Sweden

Olander, S. and Atkin, B.L. (2010) Stakeholder Management – The Gains and Pains. Chapter 15. In Chinyio, E. and Olomolaiye, P., (eds) *Construction Stakeholder Management*, Blackwell Publishing Ltd. 266-275.

Paul, S. (1987) *Community Participation in Development Projects – The World Bank Experience*, Washington DC

Preble, J.F. (2005) Toward a Comprehensive Model of Stakeholder Management, *Business and Society Review*, **110**(4), 407-431, Blackwell Publishing

Project Management Institute (PMI). (2013) *A Guide to Project Management Body of Knowledge*, PMBOK 5<sup>th</sup> edition, Project Management Institute Inc.

- Rawlins, B.L. (2006) *Prioritizing Stakeholders for Public Relations*, Institute for Public Relations.
- Reed, M.S. (2008) Stakeholder Participation for Environmental Management: A Literature Review, *Biological Conservation*, **141**(10), 2417-2431.
- Rifkin, S. (1986) Lessons from Community Participation in health programs, *Health Policy and Planning*, **1**(3), 240-249.
- Rowe, G. Roy, M. and Lynn, J.F. (2004) Evaluation of a Deliberative Conference, *Science Technology & Human Values*, **29**(1), 88-121.
- Savage, G.T. Nix, T.W. Whitehead, C.J. and Blair, J.D. Strategies for Assessing and Managing Organizational Stakeholders, *Academy of Management Executive*, **5**(2), 61-75
- Schramm, W (1971) *Notes on case studies of instructional media projects*. Working paper with assistance of John Mayo, Washington D.C
- SDG (Sustainable Development Goals) (2015)  
<http://www.un.org/sustainabledevelopment/sustainable-development-goals/>  
 [2016-06-07]
- SIDA (2014) *Utvecklingen i Kenya*  
<http://www.sida.se/Svenska/Har-arbetar-vi/Afrika/Kenya/Utvecklingen-i-Kenya/>  
 [2016-06-12]
- Syrjänen, Raakel (2008) *UN-HABITAT AND THE KENYAN SLUM UPGRADING PROGRAM – STRATEGY DOCUMENT*, Nairobi
- Strand, R. and Freeman, R.E. (2012) *The Scandinavian Cooperative Advantage: Theory and Practice of Stakeholder Engagement in Scandinavia*, Copenhagen Business School Working Paper Version 5
- Sutterfield et al (2006) A Case Study of Project and Stakeholder Management Failures: Lessons Learned, *Project Management Institute*, **37**(5), 26-35.
- UN-HABITAT. (2002) *Expert Group Meeting on Urban Indicators – Secure of Tenure, Slums and Global Sample of Cities, Revised Draft Report*, Nairobi
- UN-HABITAT. (2003) *Challenges of Slums – Global Report on Human Settlements 2003*, Earthscan Publications Ltd, London
- UN-HABITAT. (2006) *State of the World's Cities 2006/7: The Millennium Goals and Urban Sustainability: 30 Years of Shaping the Habitat Agenda*. Gutenberg Press Ltd, Malta
- UN-HABITAT. (2008a) *State of the World's Cities 2010/2011: Bridging the urban divide*. Gutenberg Press Ltd, Malta
- Yin, R.K. (2009) *Case Study Research – Design and methods*, Applied Social Research Methods Series vol 5, Sage Publications.



# Appendix A – Questionnaire

---

## General

### 1. Which of the following groups do you represent?

People with disabilities ()      Tenants ()      Landlords ()      Elderly ()  
 Entrepreneur ()      Youths ()      Kids ()  
 Community leader ()      Women ()      Structure owner ()  
 Other () \_\_\_\_\_

### 2. Age:

0-15 ()      16-25 ()      26-35 ()      36-45 ()      46-55 ()  
 56-60 ()      Over 60 ()

3. Gender: Male ()      Female ()

4. Family size: \_\_\_\_\_

5. People in household:

Number of Youths (12-18) \_\_\_\_\_ Number of Kids (0-12) \_\_\_\_\_

6. Where do you live? (Which neighbourhood etc)

7. Period of time living in Kibera: \_\_\_\_\_

8 a) Have you lived in the decanting site in Langata?

Yes ()      No ()

8 b) If yes, how long did you/have you lived there? \_\_\_\_\_

9. Occupation:

Work ()      Study/school ()      Taking care of Household ()      Unemployed ()

Others () \_\_\_\_\_

10. What do you like to do on your spare time?

11. Which are the most crucial and important improvements that needs to take place in todays Kibera?

12. For following areas, mark with an X what's true about your own neighbourhood (according to you)

	Very bad	Bad	Average	Good	Very good
Sanitation					
Basic services					
Health care					
Garbage disposal					
Groceries/food possibilities					
Nightlife					
Spare time activities					
Housing					
Criminality					
Sustainability					
Secure of tenure					
Electricity					
Social relationships					
Water					

### **Slum upgrading in Kibera**

**13. Are you aware of the on going slum upgrading in Kibera?**

Yes () No ()

**14. Where do you get information about the projects?**

Friends () Advertising () Internet () Community meetings ()

Other () \_\_\_\_\_

**15 a) Do you inform other people about the projects?**

Yes () No ()

**15 b) If yes, how?** \_\_\_\_\_

**16. Have you seen any improvements today?**

Yes () No ()

**17. If yes, what kind of improvements?**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**18 a) Have you in any way been affected by the slum upgrading?**

Yes () No ()

**18 b) If yes, in which ways?**

\_\_\_\_\_

**19 a) Have you been invited to participate in any upgrading project?**

Yes () No ()

**19 b) If yes, which project?**

\_\_\_\_\_

**20 a) Have you been involved or participate in the upgrading process?**

Yes () No ()

**20 b) If yes, in which ways?**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**21. For statements below, mark with an X what's true (according to you)**

	<b>Strongly Disagree</b>	<b>Disagree</b>	<b>Not sure</b>	<b>Agree</b>	<b>Strongly Agree</b>
The slum upgrading increase my life conditions					
The slum upgrading increase the spirit in my neighbourhood					
The slum upgrading increase my connection to other parts/neighbourhoods in Kibera					
The slum upgrading increase my connection to other people in Kibera					
The slum upgrading increase my motivation to invest in my own household					
The slum upgrading increase my motivation to invest in my own neighbourhood					
The on going upgrading increase my motivation to participate in other upcoming projects					
The responsible for the upgrade involves the local residents and other local stakeholders					
My groups interests are taken into account during slum upgrading in Kibera					
My voice and opinions are being heard and take into consideration					

**22 a) Have you attend any slum upgrading related community meetings?**

Yes () No ()

**22 b) If Yes, how would you rate this meeting?**

*Very bad ()      bad ()      Average ()      Good ()      Very good ()*

**22. c) If No, Why?**

---

**Stakeholder group related questions**

**31. How would you say that the group you represent are treated in Kibera?**

*Very bad ()      bad ()      Average ()      Good ()      Very good ()*

**32 a) Are there any special gatherings/events/projects/actions/meetings for the group you represent?**

*Yes ()      No ()*

**32 b) If yes, what kind?**

---

**32 c) If No, is that something you would be interested in? Give an example**

---

---

**33 a) Have you seen any specific upgrading that have improved the life conditions of the group you representing?**

*Yes ()      No ()*

**33 b) If yes, which specific improvements?**

---

---

**34. To improve the conditions for the group you represent, which specific issues and problems needs to be addressed?**

---

---

---

**35. Finally, is there anything you would like to add concerning the subject of Slum upgrading, participation, the Settlement Executive Committee or anything else?**

---

---

---

---

**Thank you for your participation**

# Appendix B – Workshop questions

---

## Questions/Subjects for workshop

- What are the best/worst things about life in Kibera?
- What are the most urgent actions that need to take place?
- What are the major challenges in slum upgrading projects?
- What can we do to increase the involvement/impact of the community?
- What can we do to increase people's motivation to participate?
- How should the community be involved/participate
- What are the positives/negatives of having the community involved?

# Appendix C – Invitation letter

---

## Invitation

*Kibera Workshop: Understanding the Challenges in Slum Upgrading and the potential in Participation*

*Thursday 17/3 and Friday 18/3 2016  
09:00-15:30*

Dear sir/madam \_\_\_\_\_

I hereby invite you to participate in a Workshop with me, a Swedish engineer student, together with other community-based actors to discuss, debate and investigate ideas, problems and the challenges in slum upgrading projects. The purpose of the workshop is to give you an opportunity to argue with other persons in order to increase the knowledge about each other's interests, needs and demands, problems and potential.

The challenges in slum upgrading are often very complex, difficult and comprehensive. In order to prevent the emerging of new upgraded areas where beneficiaries and other stakeholders don't benefit or in other ways can't take part of the upgrade it's vital that these challenges are discussed and highlighted.

The workshop will be part of a larger study on the community's' role in slum upgrading and participation involvement. The overall aim of the study is to find and highlight key factors that are necessary for Slum Upgrading to be successful.

We start the day with a quick questionnaire and after some coffee and tee we have a focus group discussion where each group discuss several slum upgrading related problems and challenges. After lunch each group will have a quick presentation for the rest of the group and we finish the day with an open group discussion where we discuss problems, challenges and different solutions.

Hope I see you there

Best regards,

Magnus Flinck  
Student in Master of Science, Civil Engineering  
Email: magnus.flinck@gmail.com  
Phone: +254 792 651 179