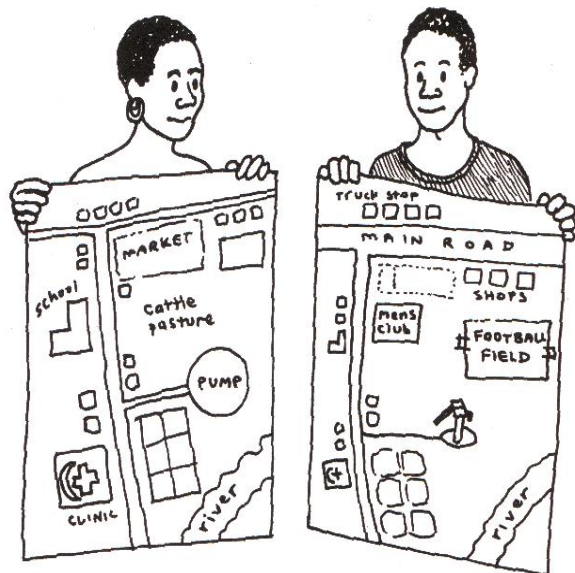# The Application of Participatory Planning Approaches in Slum Upgrading Programmes: The Case of Kisumu Town, Kenya

"We want real community participation in this decision. Plan A is too expensive. Plan C is inefficient. Now, which plan do you prefer?"

Biography

Name: Jack Abuya Ogola

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Dip. Ing. Jack Abuya; *BA, MPhil, MSc.* **MKIP**

Mr. Abuya is an Urban Planner and Social Development Expert. He holds a BA in Sociology and a M.Phil. in Development Studies (Moi University, Kenya). He also holds a M.Sc. in Urban Development and International Cooperation (Technical University of Darmstadt, Germany) and another M.Sc. in Urban Planning and Housing (Universite Pierre-Mendes, Grenoble, France) plus other post graduate diplomas. He is currently pursuing his PhD at Maseno University, Kenya with resident Research fellowships at Groningen University, The Netherlands and Uppsala University, Sweden, where he is researching the impact of Land Use Dynamics on Climate Change and Water Resources within the Mara River Basin in Kenya. Mr. Abuya has extensive experience in Development issues and Planning. He previously worked as The Director of Planning, The Deputy Director of Social Services and Community Development Officer; all at Kisumu Municipal Council. He also has had stints at the Ethiopian Civil Service University College in Addis Ababa, Ethiopia where he lectured in the World Bank/IHS sponsored Masters in Urban Management to senior Ethiopian Urban Managers. He also interned at the Directorate of Planning and Infrastructure at the East Africa Community Secretariat in Arusha, Tanzania.

Mr. Abuya has also attended various training programmes and urban development studios in many countries e.g. United States of America, The Netherlands, Sweden, Ethiopia, Uganda, Tanzania, South Africa, Lithuania, Slovakia, Morocco, France, Germany, Finland among others.

He is a corporate member of many professional associations throughout the world. He currently lectures at the School of Planning and Architecture, Department of Urban and Regional Planning, Maseno University, Kenya. He is also the Team Leader of *Envirocheck-Kenya*, a consultancy group engaged in issues of sustainable development. He too is a director of *Urban Solutions-Kenya*, an NGO engaged in urban development programmes.

In 2006, Mr. Abuya attended the 2nd Integrated Urban Planning Course at BTH, Karlskrona and Stockholm, Sweden with the second phase held in Kampala, Uganda. His case study was on The Application of Participatory Planning Approaches in Slum Upgrading in Kisumu City, Kenya. At that time he was leading the implementation of the Slum Upgrading project in the City by virtue of being the Director of City Planning for Kisumu town.

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The Application of Participatory Planning Approaches in Slum Upgrading: The Case of Kisumu Town, Kenya

1.1 Global Context

Since the 1950s, mankind has endured its most rapid expansion, from 2.5 billion to 6 billion people. Sixty percent of this gain has been in urban areas, particularly in the urban areas of the developing world, where the urban population has increased more than six fold in only 50 years. Sub Saharan Africa presents one of the unprecedented high urban growth rates, often exceeding 5 per cent per annum, twice as high as Latin America and Asia. But it is in the African city slums that populations are growing fastest because they absorb 190,000 newborn babies and migrants each week. As such, urban slums absorb about three quarters of the population growth in African cities (UN-HABITAT, 2003).

The fast growth of African large cities has been accompanied by an upsurge in urban poverty. In 1990, 241 million Africans (47.4% of the urban population) were living on less than US$1 a day. In 1999, there were 315 million, averaging 49% of the total population. The number of the poor is expected to reach 404 million in 2015 or 46%. This huge increase in urban populations has amounted to a crisis of unprecedented magnitude in urban services and shelter provision. It has been estimated that one third of the worlds urban population today do not have access to adequate housing, and lack access to safe water and sanitation. These people live in overcrowded and un serviced slums, often situated on marginal and dangerous land. Their safety and security is not guaranteed. Their wastes are not collected posing serious implications on their personal and environmental health. This scenario has excercabated the slum condition in African cities. In 2001, 166.2 million people or 72% of African urban residents were living in slums. During the 1990-2001 period, African Urban slums populations increased by about 65 million people. Based on these estimates, if no effective measures are undertaken, the urban slum populations are likely to double, on average, every 15 years while the total population doubles every 26 years.

In the face of these and other global challenges, world leaders met at the special millennium summit of the United Nations in September 2000 to establish a series of goals for humanity in the 21st century. The summit made a millennium declaration on development. At the general assembly session following this millennium declaration, a road map was established with a set of 8 specific global goals (the millennium development goals) and 18 targets (the MDG targets) which were to be measured through 32 indicators. To mitigate the slum proliferation was Goal 7, Target 11 which states that: *By 2020 to have achieved a significant improvement in the lives*

of at least 100 million slum dwellers. This indicates that slums are one of the most pressing challenges of the Millennium. By dealing with the people living in the most depressed physical conditions in the world's cities, Target 11 is a direct recognition that slums are a development issue which needs to be faced. Slums cannot simply be considered as an unfortunate consequence of urban poverty but need to be treated as a major issue and as a typology in itself to classify human settlements.

It is in view of the foregoing that, UN-Habitat, The United nations arm dealing with human settlements, during a parallel debate in The World Urban Forum in 2002, set up the 'Cities without Slums' initiative, a programme for strengthening conditions for city wide slum upgrading. Within this programme, a sub regional programme for Eastern and Southern Africa was established. The programme was initiated in response to the worsening situation of increasing urban poverty and the attendant slum proliferation within the Eastern and Southern African region. The peoples of Eastern and Southern Africa face the challenge of acute social and economic difficulties and are becoming urban faster than any other region worldwide. Within the programme, one city was chosen in each of the participating member countries. They are Kisumu in Kenya, Addis Ababa in Ethiopia, Lilongwe in Malawi, Maputo in Mozambique, Durban in South Africa, Arusha in Tanzania, Kampala in Uganda, Maseru in Lesotho and Ndola in Zambia. The programme sought to assist member states in the sub region to realize the millennium Declaration goal 'cities without slums' by: strengthening institutional arrangements, building partnerships and supporting the improvement of people living and working in slums in the selected cities in the Eastern and southern African region.

In the ensuing period, the participating cities began implementing a standard, four phase slum upgrading programme in their respective cities. The process of implementing the programme however differed with various national governments employing different frameworks and strategies.

1.2 Kisumu City, Kenya

Kisumu is the third largest city in Kenya, after Nairobi and Mombasa in that order. It is the principal town in the western Kenya region, being the seat of Kisumu district and Nyanza Province. The town presently has a population of about 500,000 people with an annual growth rate of 2.8%. It is one of the fastest growing cities in the country today and is surrounded by an agriculturally rich hinterland mainly supporting large scale sugar industry and rice irrigation, Kisumus' contribution to the country's economy is significant.

The city stands on the shores of Lake Victoria, the second largest fresh water lake in the world, at an altitude of 1160m above the sea level. The city covers an area of approximately 417km2, 35.5% of which is under water. The average population density is 825 per sq. km.

Despite being endowed with a massive potential in natural resource availability, Kisumu still registers one of the highest poverty levels in Kenya exacerbated by a rapidly growing informal sector against a backdrop of collapsing or retrogressing private sector growth. Infrastructure development and service expansion has not matched the rapid population growth registered in Kisumu, providing a great challenge to the city authority. Of great significance is the fact that despite having a rich natural resource base, 48% of Kisumu's population lives within the absolute poverty bracket comparing unfavourably with the national average of 29%. The city also experiences one of the highest incidences of food poverty (53.4%) in the country, concentrated mainly amongst the 60% of the city's population residing within the peri-urban slum settlements. Despite the legislative authority giving mandate to the City Council to provide basic services within its area of jurisdiction, such provision has fallen way short of demand with only about 10% sewerage coverage, 40% water supply outreach and 20% solid waste management efficiency. Housing provision remains one of the bigger challenges for the authorities, with approximately 75% of the peri-urban inhabitants residing in temporary and semi-permanent structures with inherent infrastructural deficiencies. The physical characterization of slums in Kisumu shows a concentric pattern of seven slum settlements on the fringes of the city. Furthermore, the urban community has largely felt detached from the main frame of development activities in the City, admittedly as a result of limited information flow and to some reasonable extent, inherent perception on the traditional role of the local authority.

Kisumu in a regional context

Map of Kenya

Kisumu in a National context

1.3 The Kenya Slum Upgrading programme in Kisumu

The Kenya Slum Upgrading Programme (KENSUP) is a key poverty reduction Programme aimed at addressing social development challenges within urban informal settlements in Kenya in order to improve the welfare of households living in slum and squatter settlements. . The Government and UN-HABITAT entered into a Memorandum of Understanding in 2003 to pilot the slum upgrading programme within three selected cities; Nairobi, Mavoko and Kisumu. In Kisumu, the projects' areas of concern has consisted of construction of critical social infrastructure comprising classrooms, health centres, early childhood development units, rehabilitation of social halls and market centres, upgrading of roads and associated external works within the slum settlements.

The specific objectives of the programme are;

a) To consolidate, rationalize and institutionalize a broad range of shelter-related policies, including creation of institutions and mechanisms for sustainable funding and development of shelter and related infrastructure.

b) To implement decentralization, partnerships, consultation, stakeholder participation, consensus building, leadership and the empowerment of beneficiary communities in upgrading projects.

c) To establish institutional frameworks and mechanisms for effective implementation of slum upgrading and shelter-related programmes.

d) To establish socio-economic and physical conditions prevailing in slums and informal settlements, through relevant mapping, in order to set the stage for improvement in land tenure, basic services, livelihoods and housing structures.

e) To develop and implement appropriate service improvement, including design, delivery strategies and approaches.

f) To assess the prevalence and impacts of HIV/AIDS and integrate strategies to address the problem.

g) To build or strengthen the capacity for research, planning, implementation, monitoring, evaluation and replication of shelter and human settlements programmes at the central government, local authority and settlement/community levels

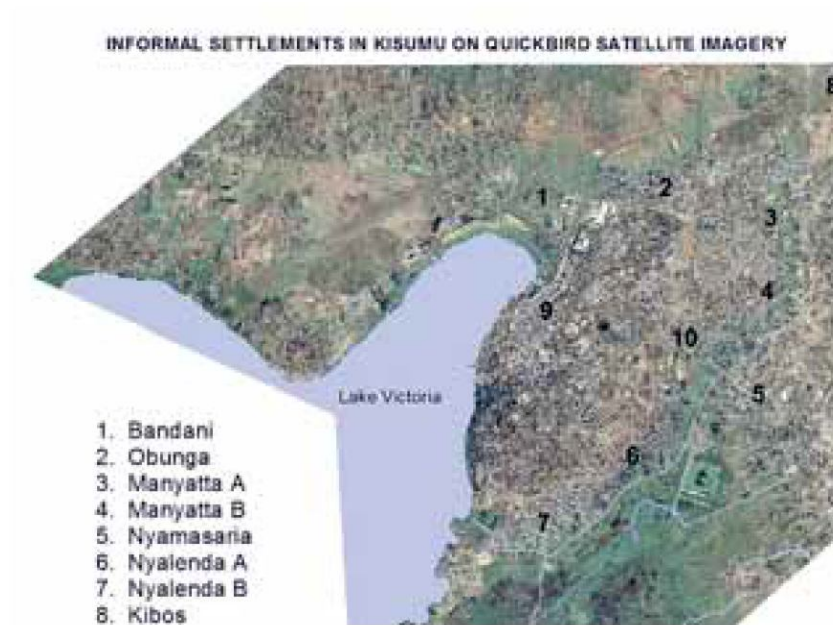h) To provide a spatial framework for provision of both social and physical infrastructure.

INFORMAL SETTLEMENTS IN KISUMU ON QUICKBIRD SATELLITE IMAGERY

Lake Victoria

1. Bandani
2. Obunga
3. Manyatta A
4. Manyatta B
5. Nyamasaria
6. Nyalenda A
7. Nyalenda B
8. Kibos

Table 1: Sub-location area population including the informal settlements (1999 GOK census)

Area	Male	Female	Total	Area in Sq Km	Density pp/ Sq Km
Manyatta "A"	20,700	21,210	41,910	2	20,955
Manyatta "B"	10,891	10,136	21,027	3.3	6,372
Nyalenda "A"	12,507	11,224	23,731	2.8	8,475
Nyalenda "B"	13,162	12,482	25,644	6.1	4,204
Kanyakwar (Obunga)	4,380	4,196	8,576	8.5	1,009
Kogony (Bandani)	7,150	6,811	13,961	13.1	1,066
West Kolwa	36,560	33,842	70,402	12.2	5,771
Kaloleni	6,467	7,048	13,515	2.1	6,436

1.4 Policy and Legal Framework for slum upgrading

In order for the programme to have relevance in development efforts, it had to be anchored both international and national policy framework. *The Physical Planning Act (Cap 286)* gave the legal mandate of preparing upgrading plans. The broad goals of the plans are within the scope of the *Millennium Development Goals* and spurred by the *National Economic Recovery Strategy for Wealth and Employment Creation* and the *National Poverty Reduction Strategy Paper*.

1.5 Institutional Framework

Slum upgrading is a collaborative venture, a number of organizations have been involved in the implementation of the programme. Key among them are government departments whose core functions not only involve spatial planning but include issues of urban management. These are:

i) Director of Physical Planning

The Director of Physical Planning, based at the Ministry of Lands, is charged with the responsibility of preparation, processing and approval of slum upgrading plan; development control within the slum area and formulation of policy on urban renewal and development.

ii) Director of Housing

The Director of Housing, based at The Ministry of Housing, is in charge of Kenya Slum Upgrading Programme. He collaborates with the government's agencies, international donors and local actors. He holds and disburses programme funds and oversees their expenditures.

ii) Municipal Council of Kisumu

The key role of the council is provision of services to all its residents including those within the slum areas. As stipulated by the Physical Planning Act the Council is also in charge of controlling development within its jurisdiction. In this particular case, The Kisumu Municipal Council is responsible for implementation of the upgrading plan through initiation and co-funding of development projects and enforcement of plan provisions.

iii) Kenya Slum Upgrading Programme

This is an institutional set up established by government in collaboration with UN Habitat. The programme is meant to promote, facilitate and where necessary provide security of tenure, housing improvement, income generation and social infrastructure. The program also addresses the problems and impacts of HIV/AIDS. It is anchored at the Ministry of Housing.

iv) Civil Society / NGOs

Their role within these upgrading programmes is to mobilize resources both within and outside the country to supplement government effort. The NGOs' interactions with slum communities provide better entry point for any initiative aimed at improving livelihood.

v) CBOs/Neighbourhood Associations

Community Based Organizations are good agents for community mobilization towards effective participation to achieve better results in the planning process. It is through them that communities directly participate in programme activities. In Kisumu, Settlement Management

Committees were also elected by communities to represent them in various committees and programme decision making organs.

vi) The Private Sector

Their participation in upgrading has been minimal. They have a tendency to focus their capacity on profitable ventures. Their funding sources are various and flexible, many campaigns have social support components that target the vulnerable in the community.

1.6 The Programme planning and Implementation Process

The planning and implementation of the programme went through four successive phases:

1. Inception Phase: This entailed a broad-based consultation and consensus-building process among all the stakeholders involved in programme development.

2. Preparatory Phase: Building on the consultations and the situation analysis, this phase prepared the groundwork for the implementation phase. It began with systematic mapping, including consultations with structure owners, tenants and public authorities, and also reviewed policies and institutional arrangements for citywide slum upgrading.

3. Implementation Phase: This comprised specific project interventions and implementation in informal settlements.

4. Replication Phase: Analysis of lessons learned, replication and scaling up.

1.7 The example of Obunga Slums, Kisumu

In general, the process adopted in the planning and implementation of the programme was participatory, consultative and implementation oriented. Table 2 shows the ranking of community needs done in one stakeholder forum in Obunga Slums.
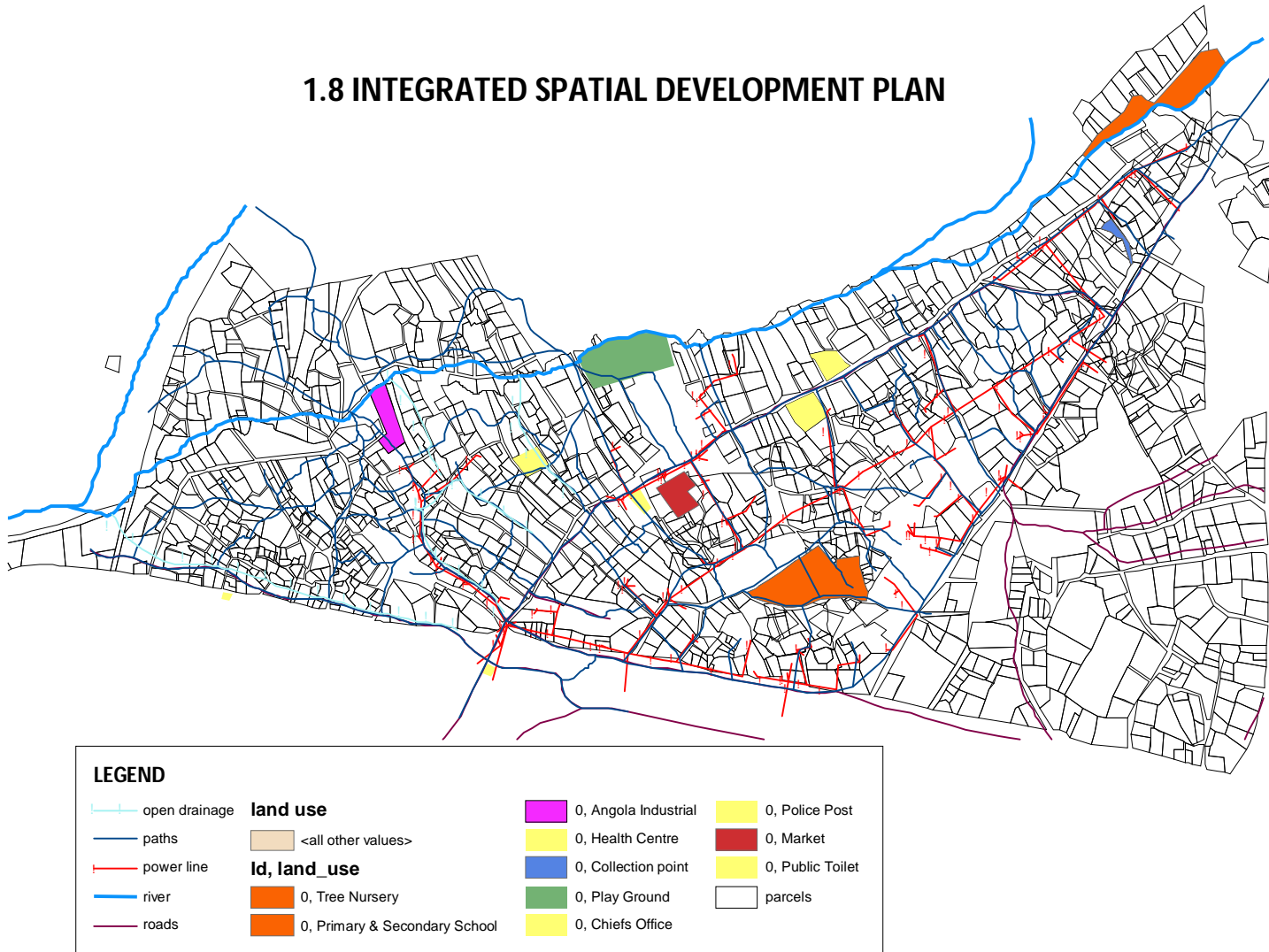

Roads in Obunga Slums, Kisumu

Toilets and Solid Waste Problems in Obunga Slums, Kisumu

ISSUES	PRIORITIZED NEEDS IN THE VILLAGES OF OBUNGA			
	OBUNGA CENTRAL	KASARANI	SEGA SEGA	KAMAKOWA
Roads	1	1	1	1
Drainage	2	2	4	1
Electricity	6	3	3	3
Dispensary	4	4	6	4
Primary/secondary school		5	5	5
Piped water	2	2	2	2
Market	5	9	7	6
Toilets	2	2	2	2
Jua kali employment	5	9	7	6
Housing poor shelter	3	7	11	3
Security	6	3	2	3
Playing field		12	12	7
Social Hall			8	7
Micro Finance		8	10	
Youth polytechnic		5		5
Fish mill	5			
Canalisation of river Obunga		6	4	
Garbage collection and disposal		2		2
Religions/institutions				
Urban agriculture		10	9	9
Improved women business		8	6	6
Widows and widowers		11		7
HIV/AIDS		4	6	7
Resource centre		11		
Web site		11		
Library		11	8	
Adult education		11		
Sewerage		2	2	

Table 2: The ranking of community needs done in one stakeholder forum for the four villages in Obunga Slums.

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1.8 INTEGRATED SPATIAL DEVELOPMENT PLAN

LEGEND

open drainage	**land use**
paths	<all other values>
power line	**Id, land_use**
river	0, Tree Nursery
roads	0, Primary & Secondary School

0, Angola Industrial	0, Police Post
0, Health Centre	0, Market
0, Collection point	0, Public Toilet
0, Play Ground	parcels
0, Chiefs Office	

An Integrated Spatial plan prepared by community members for Obunga Slums in one of the community workshops

1.9 The Implementation of Programme.

The government departments, especially the Ministry of Housing and the Municipal Council were more focused on implementing projects which involved physical facilities/civil works. Various government departments provided funds for the programme especially for the construction and improvement of physical facilities which fitted and complimented the overall programme strategy. These included the Municipal council through its' *Local Authority Transfer Fund'*, The Devolved fund, *Constituency Development Fund* was also utilized.

The NGOs were more focused on the 'software' issues of the programme e.g community mobilization and capacity building programmes.

2.0 Challenges and Problems encountered

1. Based on the planned timelines, the implementation of the project delayed by several months. This was due to delays in mobilizing communities, in establishing an appropriate cross sectoral implementation framework and project implementation unit, and in achieving consensus during stakeholder forums.

2. The government departments were overly focused on improving physical facilities and overlooked other community empowerment interventions especially on capacity building programmes.

3. Finances were inadequate to undertake the whole upgrading strategy as had been envisaged.

4. No upgrading of any public space or open ground took place

2.1 Areas that still needs to be addressed

The following areas still need to be addressed to realize wholesome achievement of improved quality of lives;

1. Capacity Building programmes for slum residents in the following subject areas;

   a) Integrated Solid Waste Management

   b) Urban agriculture and afforestration (for food security, incomes and quality environment)

   c) Business development services; Savings, Microfinance, Marketing, Book keeping etc

   d) Housing Cooperatives; mobilizing savings, accessing housing microfinance and mortgages, low cost building technologies and skills etc

   e) Climate change mitigation measures and sustainable water use methods

   f) Domestic clean energy and fuel saving methods

   g) Domestic violence and neighbourhood crime prevention methods and support to vulnerable groups

h) Mainstreaming gender, youth, HIV/AIDS in development programmes

i) Home based care for HIV/AIDS victims and support for orphans, widows, the disabled and the aged

2. Construction of infrastructure for sports, recreation and open/public spaces

3. Construction of infrastructure for Low cost mobility options/Non motorized transport

2.2 STATUS REPORT FOR PROJECTS IMPLEMENTED IN THE 1ST PHASE

NO	PROJECT	CONTRACT NO.	CONSTRUCTION COST	STATUS
1	Proposed dispensary, VIP toilets & Perimeter fence in Bandani - Aerodrome	KENSUP/009/2006-07	4,719,377	Completed and in Use
2	Proposed 3No. Classrooms, ECD & VIP toilets at Kudho Primary Sch. In Obunga	KENSUP/008/2006-07	5,078,470	Completed and in Use
3	Proposed additional 4No. Classrooms at Kaloleni Pri. Sch. In Kaloleni	KENSUP/005/2006-07	2,394,109.	Completed and in Use
4	Proposed 3No. Classrooms at Magadi Pri. Sch. In Manyatta.	KENSUP/002/2006-07	3,102,740.16	Completed and in Use
5	Proposed access road in Kaloleni -Kisumu	KENSUP/006/2006-07	4,241,785	Completed and in Use
6	Proposed 5No. Classrooms at Kassagam Pri. Sch. In Nyalenda.	KENSUP/00/2006-07	5,301,972	Completed and in Use

7	Proposed completion of dining hall at Mama Ngina children's home - Kisumu	KENSUP/00/2006-07	5,832,520	Completed and in Use
8	Proposed traders sheds at Manyatta market in Manyatta	KENSUP/01/2006-07	13,000,000.	Completed and handed over but not yet occupied
9	Rehabilitation of Kisumu Municipal Council - HDD offices at municipal works yard – Kisumu	MCK/KENSUP/01/2007-08	1,130,000	Completed and in use
10	Proposed 3 No. Classrooms and ECD at Manayatta Arab Primary School at Manyatta Arab Estate		6,052,750	Completed and in Use
11	Proposed Rehabilitation of Kosawo Social Hall		3,000,000	Completed and in Use

Manyatta Market for Small and Micro-Enterprises under construction

Refurbishment of Municipal Housing Development Department's Offices

Classrooms constructed at Kosawo Primary School Manyatta A

Health Centre and VIP Toilets Constructed at Bandani

Assistant Minister for Housing Margaret Wanjiru and area MP inspects the KENSUP projects

Road Construction in Kaloleni

Classrooms Construction at Kassagam Primary in Nyalenda A

Early Child Development Centre at Obunga   **Classrooms at Magadi School, Manyatta B**

Mama Ngina Children's Orphanage Hostels Under Construction in Kaloleni

Classrooms at Manyatta Arab Primary School   **Road Construction at Kaloleni**

THANK YOU!!!   EROKAMANO!!!   ASANTE!!!   TAC!!!   MERCI!!!   DANKE!!!