

# The Influence of Stakeholders' Participation in Implementation of Projects in Informal Settlements in Kenya

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#### Abstract

The purpose of this study was to determine the effects of stakeholders' participation in implementation of projects in the informal settlements in Kenya. The basic question was to determine the effects of stakeholders' participation in implementation of projects in informal settlement. The study was carried out in the Kisumu Ndogo informal settlement in Mombasa County. To achieve the study objective, a descriptive survey research design was used on a sample of 80 respondents from projects officers, local administrators, village elders and Group/CBO leaders. The study provides empirical evidence on effects of stakeholders' participation and its positive and significant predictive impact on community participation and local leaders' engagement in projects. A clarion call to project implementers is to focus their attention on development obtained from implementation of projects.

**Keywords:** Implementation, Informal settlement, Project, Stakeholders.

#### 1.0 Introduction

Informal settlement can be referred to many names such as slum, shanty town, squatter settlements or even illegal housing and these informal settlements are a wide spread phenomenon in Global South (Davy and Pellisery, 2013). According to the United Nations Haman Settlement Programme (UN-Habitat, 2013) informal settlement is defined as a settlement on governmental, public or private land by the urban poor without lawful authority.

Informal settlements are densely populated characterized by poor quality housing, lack of adequate living spaces and public services, and accommodating large number of informal residents with generally insecure tenure. They are prone to lawlessness, and crime, ill health and generally disharmony and no sanitation. There are telltale of signs of hunger, overcrowding, congestion, poverty and absence of basic human rights like privacy and justice (UN-Habitat 2012).

The challenges of informal settlement are multidimensional covering legal, socio-economic and physical aspects. The key characteristics that delineates the informality is lack of legal recognition of these settlements. This generally refers to the lack of tenure security of land that has been occupied. The socio-economic characteristics such as literacy, education, health, employment of informal settlers is mostly poor and leads to the poor quality of living and housing conditions. The physical characteristics of these settlements are generally precarious. These inadequate public services such as water supply, electricity, roads, drainage and absence of open spaces have made the areas resembling the characteristics of slums (Fernades, 2011).

Informal settlement is not a new phenomenon and it has its origin in the colonial era. Informal settlements emerged due to various reasons that include: the first one is migration. There are two prominent factors that is, push and pull factors causing urban migration resulting in the emergence of informal settlement in urban areas. The push factors are directly related to livelihood problems, displacement due to conflicts and natural disasters. Similarly, the pull factors are those related to economic opportunities better education and better health facilities in the urban areas. Second reason is urbanization (Deng, Wang et. al 2009). The driving factors of urbanization are population growth and rural-urban migration. Indeed, these internal migrations are always accompanied by "push factors" of rural areas—are unemployment, low standards of housing and infrastructure, lack of educational facilities, conflicts and surplus labour "pull factors" of urbanization are economic opportunities, attractive jobs, better education, modern life style (Kotter and Friesecke 2009).

Among the major slums in Kenya are Kibera, Mathare, Korogocho, Mukuru Kwa Njenga and Deep Sea (Amnesty International Publications, 2009). Given that stakeholders' participation has various components, it is important to recognize that the components of stakeholders' participation may not have the same effect on project implementation outcomes as stakeholder support. While there is ample support for the position that stakeholders' participation facilitates project implementation, there is also ample evidence that stakeholders sometimes feel trapped in project implementation aspects. The basic research question is whether or not stakeholders' participation have effects on implementation of projects. In particular, it is important to consider how specific components of stakeholders' participation enhance and potentially affects project implementation.



## 2.0 Informal Settlements

A past study conducted by the UNECE Committee on Housing and Land Management revealed that the problem is significant more in than 20 countries in the ECE region and affects the live of over 50 million people. The critical factors to formation of informal settlements are related to several interrelated changes such as: rapid urbanization and influx of people into select urban areas, wars, natural disasters and earthquakes leading to massive movement of people to places of opportunity and safety; poverty and the lack of low cost housing and serviced land (United Nation Economic Commission for Europe, 2008). Due to this, efforts are being made to improve the condition of informal settlement through implementation of projects. However, some of these projects are met with resistance where some are rejected. An example occurred in Kibera informal settlement in 2015 where a public toilet built by the National Youth Service was burnt by youths while demonstrating against Cabinet Secretary Ann Waiguru. (Daily Nation 23 June 2015)

According to the UN-Habitat (2012) it declared that; worldwide at least 860 million people are now living in slums and number of slum dwellers grew by 6 million each year from 2000 to 2010. (UN-Habitat 2015) said that around one quarter of the world's urban population continues to live in slums. Since 1990, 213 million slum dwellers have been added to the global population. Over 90% of urban growth is occurring in the developing world and estimated 70 million new residents are added to urban areas of developing countries each year. Over Asia and Sub-Saharan Africa, the number is expected to double suggesting that the absolute numbers of informal settlement and slum dwellers in these regions will dramatically grow. In Africa, over half of the urban population which is 61.7% lives in slums and by 2050, Africa's urban dwellers are projected to have increased from 400 million to 1.2 billion. In Asia, home of half of the urban population of the world, 30% of the urban population resides in slums.

In Kenya, the problem of informal settlement is also under raise as more settlements emerge. This is because due to the constraints in rolling out conventional housing, the reality is that the majority of informal settlements have still not received significant development attention weather in the form of full upgrading, relocation to green-fields housing projects or the provision of significant interim interventions to mitigate living conditions. This makes informal settlement to be a problem because it increases poverty in those areas thus making the whole country to lag behind in economy and development matter. Housing provides the basic human necessity of shelter and has important implications on household functionality, productivity and social harmony. Studies have shown that housing conditions influence individual's outcome in health, education, socio-political participation and labour participation among other aspects (Musyoki, 2012). Good housing is likely associated with high or increased self-esteemed.

Kenya suffers a problem of informal settlement that hinders its development. Urban slums present a different challenge to communities and governments administering them, and that the very nature of life in the slums makes it difficult to achieve improvements in standards of living through marginal investments, housing, health or infrastructure. Issues common to all slums settings are a lack of adequate living space, insufficient public goods provision, and the poor quality of basic amenities, all of which lead to extremely poor health and low levels of human capitals. Informal settlements are symbolically constituted as spaces of crime, spaces of anomalous, polluting, and dangerous qualities. Also the habitants of such spaces are also conceived of as marginal. The list of prejudices against them is endless (Caldeira 2000). The criminalization shapes the notion that informal settlements are spaces of crime: it is commonly alleged that an anti-establishment, or oppositional, culture prevails in slums areas, which are broadly supportive of all kinds of illegal activities. There is a lack of visible law and order, roaming teenage gangs, muggers, drug dealers, prostitutes and the indigent are evident and marginal activities take place with impunity (UN 2003).

## Objective of the study

The objective of this study was to determine the effects of stakeholders' participation in implementation of projects in informal settlements in Kenya, Kisumu Ndogo Area of Mombasa County.

## 3.0 Literature Review

## 3.1 The theory of Project Implementation

The study refered to theory of project implementation. Nut (1996) refers to implementation as a series of steps taken by responsible organizational agents to plan change process in order to elicit compliance needed to install changes. Project managers employ project implementation theory to make planned changes in organizations by creating environments in which changes can survive and be rooted. However, procedural steps in project implementation have been difficult to specify since project implementation is ubiquitous. Implementation is a procedure directed by a manager to install planned changes in an organization. There is widespread agreement that managers are the key process actors and that the intent of implementation is to install planed changes, whether they be novel or routine. However, procedural steps in implementation have been difficult to specify because implementation is ubiquitous.

The project implementation theory emphasizes several critical success factor in project implementation.



Beck (1993) considers project management as not only dependent on top management for authority, direction and support, but ultimately the conduit for implementing top management plans, or goals for the organization. Another critical success factor is the project schedule plan. For instance, Anyanwu (2003) found that the degree, to which clients are personally involved in the implementation process, will cause a great variation in their support for the project. Anyanwu (2003) viewed client consultant as the first stage of a programme to implement change.

In the light of project implementation theory, it is argued that a number of factors such as financial, human and technical affect project implementation. Project implementation in the informal settlement is likely to be influenced by various factors including stakeholders' participation. This is because various factors can be influenced greatly by stakeholders' participation which is key to project implementation especially in the informal settlement where the places are characterized with insecurity and poverty.

#### 3.2 Stakeholder Theory

The study also referred to stakeholder theory. Stakeholder theory argues that every legitimate person or group participating in the activities of a firm or organization, do so to obtain benefits, and that the priority of the interests of all legitimate stakeholders is not self-evident (Donaldson & Preston, 1995). They further argue that, although Stakeholder Theory is descriptive and instrumental, it is more fundamentally normative. Stakeholders are defined by their interests and all stakeholder interests are considered to be intrinsically valuable. Stakeholder Theory is managerial in that it recommends attitudes, structures, and practices and requires that simultaneous attention be given to the interests of all legitimate stakeholders.

According to Yang *et. al* (2009) it is essential to delight stakeholders, to motivate project teams, and to build long-lasting relationships among them. This criterion is very important and in all projects should be considered as well as clear. The central core to Stakeholder Theory is the normative approach, which implies that organizations should acknowledge the validity of diverse stakeholder interests and should attempt to respond to them within a mutually supportive framework. Based on Stakeholder Theory, the only obligation of the executive is to create as much value as possible for stakeholders through the assessment of the situation and balance the demands to meet success (Project Management, 2008).

The project's success and failure is linked to stakeholders' perceptions of the value created by the project and the nature of their relationship with the project team. Delivering value requires relationship management of the project by ensuring that the expectation of all stakeholders in respect of what is delivered, and when and how (Bourne, 2005). Therefore, during the project execution, all stakeholders' needs should be assessed; so that a satisfactory and realistic solution to the problem being addressed is obtained (Love et al., 2004). Whereas stakeholders' interest is to work together, organizations should figure out how their interests move in the same direction. An examination of Stakeholder Theory led one to the conclusion that the support of key stakeholders is essential to project success (Bourne, 2005)

## 3.3 Community participation

Almost any person or organization with an interest in a project can be termed a stakeholder. Each project has its own unique set of stakeholders. The types and interest of stakeholders are of great interest to the project manager since they enable him to use these to the greatest benefit of the project. It is therefore important that he carries out a stakeholder analysis to list, classify and assess the influence of the stakeholders (Albert, 2007).

Community development requires the involvement and participation of local residents in identifying the strategies they wish to use to improve their quality of life. Participation is seen as developmental, educative, and integrative and as a means of protecting freedom (Robert, 2004). One of the key assumptions of participation is that local residents will be more supportive of the projects therefore increase likelihood of its success if residents have input in the decision making process. Also, local residents probably have a better knowledge about assets and needs of the community. Finally, public participation is considered the center-piece of the democratic process. One of the distinguishing characteristic of community development is that it involves creation of local organizations (CBOs) to help build assets. These organizations offer several advantages for carrying out place based programmes as they have extensive contracts and information about the neighborhood. They are also controlled by local residents (Green & Haines, 2008). The view point of every stakeholders should be considered (Cleland & Ireland 2007).

The effect of the community and its leadership on implementation of projects is vividly captured by (Busiinge, 2010) his research publication "the impact of Donor Aided projects through NGOs on the social economic welfare of the rural poor". He reports that the communities do not own the projects that they implement and unless there was money they did not want to participate. Projects also seemed to have created the impression that nothing can work without money. In some instances, some of the leaders and community members did not want to attend meetings of the project activities and that was affecting the ownership of the projects and the work of local leaders. It was also emerging from the interviews with communities that the



projects often undermine what people know and that they participate for formality reasons and not because they believed in the project (Busiinge, 2010)

Community participation teaches communities how to resolve conflict and allows for different perspectives to be heard. In this way, learning is promoted and people will be able to help themselves (Nampila, 2005). Community participation leads to empowerment of the community; empowerment center's on individuals developing a critical understanding of their circumstances and social reality (Davids *et.al* 2009)

Communities will be able to assess their own situation, organize themselves as a powerful group and work creatively towards changing society and building up a new world. These increased capacities of individuals allow communities to mobilize and help themselves to minimize dependence on the state and leads to bottom-up approach (Nampila, 2005). This is essential for project implementation.

Participation of the community in development projects leads to capacity building which enables the community to be more effective and efficient in the process of identifying, implementing, monitoring and evaluating of development projects (Davis *et.al* 2009). The increasing capability of community to be able to fulfill their own needs and maintain the benefit of the project also contributes to the eradication of poverty and hunger in the long-term (Picciotto, 2002).

Others show that community participation leads to development projects that are more responsive to the needs of the poor, more responsive government and better delivery of public goods and services, better maintained community assets, and a more informed and involved citizenry (Mansuri and Rao 2003), others that greater community participation is associated with higher project outcomes.

## 3.4 Local leaders' participation

The government plays a pivotal role in community development projects funding, initiation, implementation and overall management. It provides the enabling policy and legal environment for the regulation of finance and the procurement of goods, works and services. CBOs and NGOs and their activities are regulated through legal mechanisms devised by the government (Busiinge, 2010).

On local leadership, Busiinge advises that they have an important role to play and cannot afford to sit back and watch as projects scramble. While the NGOs in Uganda have played an active role to monitor the performance of government program, the local leaders need to step up their efforts to monitor the implementation of NGO projects as well. There is need for the governments to create and participate in information sharing platforms to discuss progression in their communities. That way, the collaborations keep watch of each other's performance and accountability in community development programs. Their representatives keep watch on the performance of community development programs. Ideally local governments need to demand for NGOs accountability (Busiinge, 2010).

This developing policy framework offers opportunities for local authorities to take the lead in stimulating technological innovation for engaging in experimentation with local partnerships and models of behavior change to encourage a shift from individuals and households to collective, community action (Heiskanan, 2009). Alongside encouraging a more influential role for local authorities in improving projects efficiency within their local area, these developments are also likely to be significant success.

Both politicians and bureaucrats are viewed as critically important agents in delivery of public projects. Politicians are elected by citizens to decide public policy, including the delivery of public projects, whereas bureaucrats are employed by the government to implement these policies. When faced by high levels of political competition in their constituencies, politicians may be incentivized to improve the quality of potentially votewinning public projects. Consequently, they may seek to overcome barriers such as bureaucrats', inertia or corruption. Existing evidence suggests political competition can improve the delivery of public projects. Typically, politicians do not under-take public projects themselves, but must delegate these tasks to bureaucrats (Lyer and Mani, 2012).

Gudience et.al. (2013) defined external environment factors as those factors affecting success of construction projects which are mostly beyond the control of the management team. These factors include political, economic and social factors. Zhang (2005) identified a stable political system, favorable economic system, adequate financial market, predictable currency exchange risk, low interest rates, long term debt financing, a favorable legal framework and government support as critical to the success of projects. Li et.at (2005) identified good governance, a favorable framework, government involvement through the provision of guarantees, available financial market, political support, a sound economic policy and stable micro-economic environment as critical factors for implementation of projects.

Political factors concern political stability and government intervention in providing both incentives and enabling environment for public housing development (Chen *et. al.* 2012). Government has a role to play in ensuring the success of public project in terms of infrastructure development, provision of legal framework and guarantees to developers. (Pugh 2001) argues that failure of the capability of government will affect the success of housing sector development.



### 4.0 Research Methodology

A descriptive survey research design utilizing quantitative approaches to data collection and analysis was adopted for this study. The target population comprised of 11,792 people that reside in Kisumu Ndogo area. The sampling frame was developed through estimation.

A representative sample of 80 respondents and the sample was obtained using the formulae developed by Saunders, Thornhill, and Lewis (2009) together with Miller and Brewer (2006). Stratified sampling was used to determine the leaders' representatives in Kisumu Ndogo informal settlements. The stratus included project officers, local administrator, village elders and Groups/CBO leaders. The ultimate participants in the study were picked through systematic, simple random sampling techniques.

A self-administered questionnaire that was personally delivered to the study participants through dropoff and pick-up method (DOPU) was adopted for the study. The questionnaire collected information on the bio data of the study participants alongside information that determined the effects of stakeholders' participation. The items in the questionnaire were operationalized using 5-point Likert scales, ranging from (1 = strongly disagree) to (5 = strongly agree).

A pilot study was conducted on a small sample of 8 respondents from Kisumu Ndogo that did not form part of the actual sample as generally recommended by social researchers (Mugenda and Mugenda, 2007). The purpose of the pilot study was test the questionnaire and survey techniques (Kothari, 2004) and ensure that the items in the instrument were stated clearly, with the same meaning to all respondents (Mugenda & Mugenda, 2007). Pilot testing also enabled the researcher to know if the instruments were valid and that the study's design would be able to capture the required data. Similar methods to be used in the actual study were employed in the pilot study.

## 5.0 Results and Discussions

## 5.1 Sample Profile

The study sample's background characteristics included gender, age, and level of education. In terms of gender a total of 37 representing 46.3% were Male while 43 (53.8%) were female. Age-wise, The age of between 18-25 year were 7.5%, 26-35 year were 31.3%, 36-40 years were 36.3%, 41-50 years were 17.5% and the respondents with above 50 years were 7.5%. The results showed that majority of the respondents were between ages 36-40 years which represented 36.3% of the response rate.

On level of education, Majority were those with secondary education with 35%, college education were 28.7% of the total response rate, primary education level were 22.5% and university level were 11.3% while only 2% had other level of education.

## 5.2 Results of Descriptive Analysis of the Study Variables

## 5.2.1 Means and Standard Deviations of effects of stakeholders' participation

The initial stakeholders' participation had 7 questionnaire items. The items were derived from extensive theoretical and empirical review of literature and conceptually described the project implementers. The scale was measured on a 1-5 point continuum, ranging from strongly disagree (1) to strongly agree (5). Descriptive analysis of the scale data revealed that the scale item with the highest mean was "Projects that are implemented in the area have stakeholders" with a mean of 4.27 and a standard deviation of 0.779. The item with the lowest mean was "The policy affect the participation of stakeholders" which had a mean score of 2.80 and a standard deviation of 947. The distribution of the means and standard deviations per subscale item was as shown in Table 1.

**Table 1: Stakeholders' Participation** 

Item No		Std.
Item description	Mean	Deviation
Stakeholder_1 Projects that are implemented in the area have stakeholders	4.27	.779
Stakeholder 2 Stakeholder participate in the implementation of projects	4.18	.708
Stakeholder 3 Stakeholders' participation influence the implementation of projects	4.18	.792
Stakeholder 4 There is a policy for stakeholders' participation	2.85	.975
Stakeholder_5 The policy affect the participation of stakeholders	2.80	.947
Stakeholder 6 Level of stakeholder participation affect implementation of projects	4.00	.928
Stakeholder_7 There is coordination between community and local leaders in implementation of projects	n 4.23	.871

## 5.2.2 Means and Standard Deviations of project implementation

The 7 scale items that focused on project implementation. The measurement scale was based on a similar 5-point likert scale, ranging from strongly disagree (1) to strongly agree (5). The results of descriptive analysis of the participants' responses on the measurement scale (Table 2) indicated that the means highest mean was related to the scale item "There are projects that have been implemented in the area" with a mean of 4.26 and a standard



deviation of 0.689. The item with the lowest mean was "the projects that are implemented are sustainable" with a mean of 3.53 and a standard deviation of 1.055.

**Table 2: project implementation** 

Table 2. project in	uplementation		
Item No			Std.
	Item description		Deviation
Implementation_1	There are projects that have been implemented in the area	4.26	.689
Implementation_2	The projects that have been implemented are effective in satisfying people's needs	3.91	.860
Implementation_3	The rate of implementation of projects is successful	3.69	1.074
Implementation_4	The projects that are implemented are sustainable	3.53	1.055
Implementation_5	The factors outlined above are key to implementation of projects	4.01	.803
Implementation_6	The organizations that implement projects consider the factors outlined above while implementing projects	3.80	1.107
Implementation_7	Projects that handle the factors outlined above end being implemented successfully	3.54	1.169

# 5.2.3 Reliability Analysis

Reliability is one of the indicators of convergent validity (Hair et al., 2010). High reliability shows that internal consistency exists, indicating that measures can represent the same latent construct. Thus, reliability analysis in this study involved calculating item to total correlations and coefficient alpha (Churchill, 1979). This analysis was conducted for both the stakeholders' participation and project implementation measurements scale. The objective was to identify items with a Corrected Item-Total correlation of lower than 0.4 on the hypothesized for deletion (Gliem & Gliem, 2003; Hair et al., 2006). Table 3 shows the scale item analysis for stakeholders' participation measurement scale while Table 4 shows the item analysis for project implementation. Coefficient alpha figures are also included to provide reliability estimates.

Table 3: Stakeholders' participation - Item-Total Statistics

	-		Corrected	Squared	Cronbach's
	Scale Mean it	f Scale Variance	Item-Total	Multiple	Alpha if Item
	Item Deleted	if Item Deleted	Correlation	Correlation	Deleted
Stakeholder_1	22.22	12.658	.622	.636	.762
Stakeholder_2	22.32	13.193	.588	.675	.770
Stakeholder_3	22.32	12.578	.624	.620	.761
Stakeholder_4	23.65	12.591	.462	.589	.792
Stakeholder_5	23.71	12.927	.431	.495	.797
Stakeholder_6	22.49	12.715	.474	.441	.788
Stakeholder_7	22.27	12.275	.602	.594	.763

Stakeholders participation Cronbach's  $\alpha = 0.802$ 

Table 4: Project implementation - Item-Total Statistics

			Corrected	Squared	Cronbach's
	Scale Mean if	Scale Variance	Item-Total	Multiple	Alpha if Item
	Item Deleted	if Item Deleted	Correlation	Correlation	Deleted
Implementation_1	22.48	15.949	.428	.472	.730
Implementation_2	22.83	13.311	.754	.663	.661
Implementation_3	23.05	12.428	.686	.657	.663
Implementation_4	23.21	13.612	.521	.467	.706
Implementation_5	22.73	14.809	.537	.469	.708
Implementation_6	22.94	16.388	.130	.202	.798
Implementation_7	23.20	14.111	.376	.168	.745

Project implementation Cronbach's  $\alpha = 0.749$ 

Based on the above decision rule that items with a Corrected Item-Total correlation of lower than 0.4 on the hypothesized factor be deleted from a measurement scale (Gliem & Gliem, 2003; Hair et al., 2006), no item was deleted from the two measurement scales since Corrected Item-Total correlation values for all the items for each scale exceeded 0.4. Additionally, early scale reliability estimates were very encouraging given that they exceeded Cronbach's  $\alpha = 0.7$  (Zikmund et al. 2010; Tabachnick and Fidel, 2001).

#### 5.3 Regression Analysis

In statistical modelling, regression analysis is a statistical process for estimating the relationships among variables. It includes many techniques for modelling and analyzing several variables. When the focus is on the relationship between a dependent variable and one or more variables (Marshall, C. 2012).



## 5.3.1 Analysis of Variance (ANOVA)

It is a statistical method used to test differences between two or more means. It may seem odd that the technique is called "Analysis of Variance" rather than "Analysis of Means." In testing the significance level, the statistical significance was considered significant if the p-value was less or equal to 0.05. The significance of the regression model is as per Table below with P-value of 0.00 which is less than 0.05. This indicates that the regression model is statistically significant in predicting factors affecting implementation of projects in informal settlements

## **Table 5 Analysis of Variance**

#### **ANOVA**<sup>a</sup>

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	456.390	3	152.130	11.115	$.000^{b}$
	Residual	1026.547	75	13.687		
	Total	1482.937	78			

- a. Dependent Variable: Implementation of informal settlement projects.
- b. Predictors: (Constant), Stakeholders' participation.

#### 6.0 Conclusion and Recommendation

This study was aimed at determining the effects of stakeholders' participation in implementation of projects in informal settlements. The results of the study confirm that stakeholder participation affects implementation of projects and that there is a positive relationship between stakeholders' participation and implementation of projects in the informal settlements. This is in line with Anyanwu (2003) who found that the degree, to which clients are personally involved in the implementation process, will cause a great variation in their support for the project. It also agrees with Businge (2010) who says that on local leadership. He advises that they have an important role to play and cannot afford to sit back and watch as projects scramble. He also says while the NGOs in Uganda have played an active role to monitor the performance of government program, the local leaders need to step up their efforts to monitor the implementation of NGO projects as well. There is need for the governments to create and participate in information sharing platforms to discuss progression in their communities.

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