EFFECTIVENESS OF COMMUNITY BASED ORGANIZATIONS
AND NON-GOVERNMENTAL ORGANIZATIONS' SERVICE
DELIVERY IN THE INFORMAL SETTLEMENTS OF OBUNGA
IN KISUMU COUNTY, KENYA.

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A RESEARCH THESIS PRESENTED TO FACULTY OF ARTS AND SOCIAL SCIENCES IN PARTIAL FULFILMENT OF THE REQUIREMENTS FOR THE AWARD OF DEGREE OF MASTER OF ARTS IN DEVELOPMENT STUDIES AT THE CATHOLIC UNIVERSITY OF EASTERN AFRICA

NAIROBI KENYA

MAY, 2016
DECLARATION

I, the undersigned, declare that this proposal is my original work, except for the specific and acknowledged references to the published work of others, and that it has not been presented in any other university or institution for academic credit.

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Date & Stamp 10/05/2016

(Michael T. Okuku)
DEDICATION

Call it a clan, call it a network, call it a tribe, call it a family. Whatever you call it, whoever you are, you need one. ~Jane Howard (1935-1996) US journalist. I dedicate this thesis to my family and closest friends.
ACKNOWLEDGEMENT

I would like to thank my two supervisors Dr. Bethwell Owuor and Mr. Michael Okuku for their undying support throughout all the stages of this thesis. I would also like to thank my family and all my close friends for the encouragements and support that gave me the zeal to keep pushing on. Thank you so much and God Bless you all.
ABSTRACT

Informal settlements are a phenomenon which mostly occur in cities of developing and newly industrializing countries. A billion people live in informal settlements worldwide. This has been partly due to urbanization and rapid population growth. Lack of proper policies and the dynamics of slum issues has made reaching a solution a perpetual challenge for humanity. The Millennium Development Target No 11 aimed at achieving significant improvement in the lives of at least 100 million slum dwellers by 2020. This goal underlined the global importance of dealing with the situation. Many efforts have been made by both government and non-government actors at international and local levels. However, as was observed at the close of the period in 2015, much still needs to be done. This study sought to analyze the effectiveness of CBO and NGO service delivery in the informal settlements of Obunga in Kisumu county, Kenya. The theories which were found relevant to support the study were the Actor Network Theory and the Public Goods theory. The study employed a descriptive research design. The research targeted 40 women, 40 youth, 5 community leaders, and 10 NGOs/CBOs staff. A questionnaire and interview guide as well as observation were employed to collect data from respondents. Quantitative data was interpreted and presented in frequency tables and graphs, qualitative data was summarized using narrative analysis. The NGOs/CBOs in the settlement offered mainly capacity building and empowerment; health care services; counseling; engagement of vulnerable groups; and table banking. Other services such as recreation centers and facilities, children's homes and sanitation services were also provided. The main challenges faced by these organizations are insufficient funds and the community's attitude and literacy levels. From the findings, it was established that service delivery in the settlement had improved with the intervention of NGOs and CBOs as agreed by majority (47.1%) of the respondents. However, both respondents from the settlement and representatives of the partnered organizations were in consensus that much still needed to be done to improve the standard of living in various informal settlements in Kisumu County. The partnerships that have emerged between NGOs, the state, the private sector, funding agencies and CBOs, provide some insight into the challenges, opportunities and dynamics of such collaborations. This study recommends that development stakeholders should put tackling informal settlements challenges at the centre of all urban reform efforts and develop credible action plans with ambitious targets, timelines and financing sources. The government should stop forced evictions which is a human rights violation. Future research should be carried on institutional and legal constraints in service delivery, political issues affecting service delivery, community participation for sustainability of the services launched and the dynamics affecting effective service delivery by other Civil Society Organizations in informal settlements.
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### ACRONYMS

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Full Form</th>
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<tbody>
<tr>
<td>ANT</td>
<td>Actor Network Theory</td>
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<tr>
<td>CBD</td>
<td>Central Business District</td>
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<tr>
<td>CBO</td>
<td>Community Based Organization</td>
</tr>
<tr>
<td>COHRE</td>
<td>Center On Housing Rights and Eviction</td>
</tr>
<tr>
<td>KIWASCO</td>
<td>Kisumu Water and Sewerage Company</td>
</tr>
<tr>
<td>MDG</td>
<td>Millennium Development Goals</td>
</tr>
<tr>
<td>NACOSTI</td>
<td>National Commission for Science, Technology and Innovation</td>
</tr>
<tr>
<td>NGO</td>
<td>Non-Governmental Organization</td>
</tr>
<tr>
<td>SAP</td>
<td>Structural Adjustment Programmes</td>
</tr>
<tr>
<td>UN</td>
<td>United Nations</td>
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<tr>
<td>UNESCO</td>
<td>United Nations Educational, Scientific and Cultural Organization</td>
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<tr>
<td>UNCHS</td>
<td>United Nations Centre for Human Settlements</td>
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<tr>
<td>USA</td>
<td>United States of America</td>
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<tr>
<td>WHO</td>
<td>World Health Organization</td>
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<td>WUP</td>
<td>Water Utility Partnership</td>
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CHAPTER ONE

INTRODUCTION

1.1 Background to the study

Urban development trends with regards to the built environment, the urban economy and the provision of services can be analyzed with formal/informal continuum. Formal urban developments are those characterized with the purview of a state land administration system and complies with the legal and regulatory requirements, while informal urban development does not comply with one or another requirement (UN-Habitat, 2009). In this regard, informal settlements may bear attributes like illegal occupation of land, non-adherence to building codes and infrastructure standards, or both illegality of land and non-conformity to building standards and codes (Fekade, 2000). Informal settlements are a phenomenon which mostly occurs in developing and newly industrializing countries.

Informal settlements with various names such as slum, shanty town (English-speaking Africa), squatter settlements, illegal housing, bosti (India), favela (Brazil), gecekondu (Turkey), sukumbashi basti (Nepal), kachi abadis (Pakistan), bariddas (Peru), bidonville (French-speaking Africa), kampung (Indonesia), ghetto (USA) are a widespread phenomenon in global South (Srinivas 2005; Davy and Pellissery 2013). Due to ambiguity of the term, the study conducted by UN-Habitat (2013), defined informal settlements, as "settlement on government, public or private land by the urban poor without lawful authority" and slum as "settlement on unhygienic, unsecured and vulnerable place having no minimum urban infrastructure." Magigi and Majani (2006) describe informal settlements as "settlements areas in which inhabitants do not enjoy rights to an adequate standard of living and legal rights to access occupation and use of land, and therefore are exposed to risks of being evicted, inadequate basic services, informal land transactions and haphazard housing development."

According to the UN population division in 1970, only 37 percent of the world's population lived in urban areas. The proportion increased to 47 percent by 2000 and it reached 49 percent in 2005. The latest UN population projection also indicates that the proportion of
urban population will rise to 60 percent by 2030, which means that about 4.9 billion out of 8 billion are expected to be urban dwellers in 2030. Of the urban dwellers, about 4 billion (80 percent) would be living in developing countries of Africa and Asia. That means that rapid urbanization and population growth trend is occurring currently in developing countries.

Kenya is one of the most rapidly urbanizing countries in Sub-Saharan Africa, with an annual urban population growth rate of 4.4 percent (UN-Habitat, 2007). As rapid urbanization takes its toll, so has the development and growth of informal settlements in the urban centers. More than 34% of Kenya’s total population lives in urban areas and of this, more than 71% is confined in informal settlements, with limited access to basic and social services (UN-Habitat, 2009). This number will continue to increase unless a serious and concerted action by all relevant stakeholders is undertaken. For instance in Kisumu, more than 60 percent of the population are dwellers of informal settlements, in which half of these inhabitants live in absolute poverty. Kisumu is located along the shores of Lake Victoria and approximately 340 km northwest of the nation’s capital, Nairobi. Kisumu County is home to 952,645 people. The population is projected to grow to 1,145,749 by 2017 (Kisumu County Government, 2013).

Eight different slum neighborhoods are located within Kisumu where vehicular access is limited, a large proportion of housing is constructed of mud walls and reused corrugated iron sheets, and piped water and sanitary servicing are inadequate (UN-Habitat, 2005). The outer ring includes six of the slums: Nyalenda "A" & "B", Manyatta "A" & "B", Obunga and Bandani (UN-Habitat, 2005). These areas were originally rural villages, but overtime they evolved into slum neighborhoods (UN-Habitat, 2005). One of the factors that led to this outcome was the decision by the British colonial government in 1908 to prevent Black Africans from residing in the formally planned portion of the city (UN-Habitat, 2005). In need of accommodation, these villages were attractive to Black Africans as they allowed individuals to live in a rural setting while being within walking distance of employment in the city (UN-Habitat, 2005).

As a result, the larger plots were subdivided into smaller and smaller parcels that were either gifted to or inherited by family members who desired to live in the area (UN-Habitat, 2005). As plots were received, the new owners would obtain freehold titles for their land, which
is unlike the formal city where most of the land is public leasehold (UN-Habitat, 2005). The subdivision of land in these settlements was so extensive that the plots ended up being too small to support agricultural activities (UN-Habitat, 2005). Another factor was the reduction of the Kisumu town boundary in 1930 to exclude the outer ring neighborhoods (UN-Habitat, 2005). Subsequently, the settlements grew in a haphazard fashion and without servicing, as they did not need to comply with the Kisumu’s development controls (UN-Habitat, 2005). It was not until 1972 that the Kisumu city boundary grew to absorb these areas and by that time 50% of the municipal population resided in the outer ring communities (UN-Habitat, 2005).

The final two slums are Manyatta-Arab and Kaloleni, which originally were squatter settlements situated within the formal city (UN-Habitat, 2005). However, the residents were later granted a temporary license to occupy the land, and more recently some have been able to attain land titles (UN-Habitat, 2005). The settlements are small in terms of population and area relative to the other slums (UN-Habitat, 2005).

1.2 Statement of the problem

The current existence of informal settlements is a reality which cannot be ignored. More than one billion people live in indecent areas without access to basic needs, that is, adequate sanitation, improved water supply, durable housing, adequate living space and secure tenure, (Amnesty International, 2011). Lack of one of these basic conditions has direct consequences for the physical and psychological well-being of the urban population, (Sclar et al., 2005). For example, infectious diseases like diarrhea, cholera, typhoid and other waterborne diseases, malaria and tuberculosis are major problems affecting slum dwellers. On the other hand, the economic circumstances of the slum dwellers deny them access to health care services. This severely affects their safety and security. According to UN-Habitat, (2010) the number of slum dwellers worldwide continues to grow at the rate of 10 percent every year, hence increasing the problem.

The rapid expansion of slums means that society has no effective control over them, thereby projecting a miserable image of the human future. Inevitably, the rapid process of urbanization has led to severe urban problems, where existing urban services are quite
insufficient to serve all its existing city dwellers and new inhabitants. Among the many problems facing urban slum dwellers, lack of access to improved services such as waste, sanitation, waste removal, health services, are some of the most striking difficulties. Overcrowding, unemployment, high mortality and insecure tenure are other disadvantageous factors typical of slum areas.

Kibera, which is situated within the city boundaries of Nairobi is the second largest slum settlement in Africa and its characterized by lack of basic urban services and infrastructure. In Mavoko city, more than 50% of the inhabitants have no access to basic amenities, In Mombasa, 44% of the city inhabitants live below the poverty line. In Kisumu, more than 60% of the population are slum dwellers, in which half on the inhabitants live in absolute poverty, (UN Habitat, 2007).

Civil society organization like NGOs and CBOs usually step in the fill the service delivery deficit left by government in informal settlements. In some cases they experience difficulties and challenges especially with government and the informal settlements dwellers (obstacles to stimulate the dwellers’ long-lasting energy to improve their livelihood and environment). Its due to the proliferation of such organizations in informal settlements that the study sought to investigate the effectiveness of their efforts.

1.3 Research Objectives

The main objective of the study was to establish the effectiveness of NGOs and CBOs work in service delivery in the informal settlement of Obunga in Kisumu County. Effectiveness of the service delivery was assessed using the following specific objectives:

i. To determine NGO/CBO health care service delivery effectiveness in Obunga informal settlement;
ii. To analyze NGO/CBO education service delivery effectiveness in Obunga informal settlement;
iii. To investigate NGO/CBO water and sanitation service delivery effectiveness in Obunga informal settlement.
1.3.1 Research questions

i. How effective is NGO/CBO health care service delivery in Obunga informal settlement?

ii. What is the effectiveness of NGO/CBO education service delivery in Obunga informal settlement?

iii. How effective is NGO/CBO water and sanitation service delivery in Obunga informal settlement?

1.4 Assumptions of the study

The assumptions of the study included:

i. The respondents will give 100% effort

ii. The participants will answer the interview questions in an honest and candid manner.

iii. The inclusion criteria of the sample is appropriate and therefore, assures that the participants have all experienced the same or similar phenomenon of the study

iv. There are a number of NGOs and CBOs operating in the informal settlement of Obunga, and that these organizations offer either/or health care services, education services and, water sanitation services

v. These organizations have an impact of these services in one way or another

1.5 Justification of the Study

The Millennium Development Goals (MDGs) were adopted by the United Nations with the intention of reducing global poverty and improving the quality of life of the world’s poor (Payne, 2005). Target Number 11 of the MDGs specifically aims to improve the lives of at least 100 million people living in slums worldwide by 2020 (United Nations, 2001). This target demonstrates that addressing the living conditions of slums is a high priority in present international human development efforts. Addressing this issue comes at a time when more than 60% of the urban population in sub-Saharan Africa lives in slums (United Nations, 2010).
Several urban interventions have been initiated or implemented in developing countries with the purpose of working towards the goal of improving the lives of slum dwellers. Despite many efforts made in different cities across the world there are still regions where the situation is static or worse than at the beginning of the millennium, (Berger, 2006). This is particularly the case for Sub-Saharan Africa region where the overall progress towards improved living conditions for slum dwellers is showing the least positive results, (Berger, 2006).

There is need to develop informed systematic interventions to improve the well-being of slum dwellers and, better yet to reduce the continued formation and expansion of slums at an unprecedented rate. Developing of systematic interventions requires reliable, up-to-date and high spatial and temporal information pertaining slums at local level, which are commonly unavailable in many developing countries, (Khadr et al., 2010). It is unclear which interventions are most effective to yield maximum benefit with minimum effort. Local authorities invariably lack the expert capacity and reliable data to carry out the work needed to address the global and escalating urban slum problems (Ooi & Phua, 2007). Similar constraints are faced by numerous NGOs which work at the national and local scale among poor urban neighborhoods. Consequently, low-income housing programmes and provision of basic amenities and facilities fail to keep pace with rapid population growth and the tremendous demand for basic needs. Given the actual trend of population growth, the inevitability of urbanization and the proportion of slum dwellers without access to improved social and physical services coupled with their increased vulnerability, efficient methods are required for better understanding of real slum problems that can be used in targeting slum alleviation programmes. As a result, future urban development will show further expansion and sprawling of slums and the spread of urban problems if no remedial action is taken in the coming years.

1.6 Significance of the Study

The work of CBOs and NGOs ably compensates governmental deficit up to a certain degree. The government of Kenya has proven incapable of meeting the growing needs and demands of services in informal settlements. So, over the years, there have been institutions which compensate for these failures. In informal settlements, these are mainly CBOs and NGOs.
The study sought to explore and bring out the dynamics and implications of such efforts. The findings of this study should not be generalized for all informal settlements however; it can be adapted to suit the context of other informal settlements.

The findings of the study firstly, will serve as a source of reference to other studies on the efforts made thus far by CBOs and NGOs hence coming up with recommendations to fill the gaps and paying key attention to areas of improvement. Secondly, it will open up the real issues facing residents of informal settlements hence enable CBOs, NGOs, county governments and the central government to work together in coming up with tailor made services for informal settlers. Finally, through the findings of the study, recommendations drawn may guide policy makers in coming up with evidence-based policies which will gear towards filling service delivery policy gaps and hence lead to sustainability.

1.7 Scope and Delimitation of the Study

The study assessed the effectiveness of the perceived role played by NGOs and CBOs in improving service delivery in informal settlements. It consisted of the contributions made and the areas of improvement. The study was not a case study hence the contributions made were analyzed in isolation, that is, contributions made by NGOs and CBOs individually. All the respondents were residents of Obunga settlement, and all respondents from the NGOs and CBOs were from organization operating within the settlement. The study was limited to the informal settlement of Obunga in Kisumu County, Kenya. The field study was carried out from January 2016 to March 2016.

1.8 Site Description

The City of Kisumu can be broadly divided into the following three areas: the Central Business District (CBD); informal settlements (slums surrounding the town center); and peri-urban areas located on the outskirts of the CBD, (Kisumu County Government, 2013). The economy is based on the production of primary products such as crops, livestock and fish, the processing of sugar and flour at local mills and services in wholesale, distribution and retail (KPMG, 2008). The spatial form of Kisumu includes a formally planned city centre surrounded
by a ring of slum neighborhoods (UN-Habitat, 2005). The slum neighborhoods are believed to accommodate approximate 60% of the municipal population (Maoulidi, 2012; UN-Habitat, 2005). Existing settlement areas within the city include Bandani, Kamenya lower, Kibos, Lumumba, Makasembo, Mamboleo, Milimani, Migosi, Manyatta, Nyalenda, Nyamasaria, Nyawita, Obunga, Ondiek and Robert Ouko, (Maoulidi, 2012).

The site of study was the informal settlement of Obunga. This settlement is a Location in Kisumu Central. Obunga is named after the flowers that used to grow along a stream that flows through the settlement. It was formed when the colonial government forced the inhabitants out of Kisumu. Its population grew when it developed as a fish market, as the economy of Kisumu expanded. Around one-fifth of the households say that they have evidence of ownership, for instance, sale agreements of land transactions, government allotment documents or inheritance documents (Karanja 2010).

Obunga has a population of approximately 8,600 and occupies an area of approximately 1.4 square kilometers, resulting in a population density of approximately 6,200 people per square kilometre (Maoulidi, 2012). The neighborhood is located northeast of the formal area of Kisumu and forms part of the slum belt that surrounds the city (Google Maps, 2013). Obunga is made up of four sub-areas including Central, Kamakowa, Kasarani and Sega Sega (Maoulidi, 2012).

Obunga's urban form reflects that of an illegal settlement and subdivision. The landholdings are mainly freehold where the original agricultural plots have been successively subdivided and usually registered with title deeds (UN Habitat, 2007). However, the structures have been mainly built without government permits over the years (UN Habitat, 2007). The small parcels have in turn been converted into informal rental housing units (UN Habitat, 2007).

A limited number of services are provided within Obunga. In terms of access, the Pamba Road loops through the community, providing access to a series of secondary roads and pathways (Google Maps, 2013). However, all the transportation arteries in Obunga are unpaved dirt roads that inadequately accommodate drainage (UN Habitat, 2007). Commercial activities are located mainly along the Pamba Road, at the Nyawita Market and along the Kisumu-Vihiga Highway. There are drug dispensaries in the community, however only two medical clinics
The nearest public health facility is New Nyanza General Hospital, and many residents rely on this hospital and private clinics or dispensaries located in the CBD area, which is 4 km away (Karanja, 2010). Education facilities are limited to two close private primary schools, Josana Academy Primary School and the Bridges School, as the closest public schools are located outside of the community (Maoulidi, 2012). The nearest public primary school is Kudho, located about 1 km away in Kanyakwar (north of Obunga). The closest secondary school is Kanyamedha, in a settlement called Bandani (north-west of Obunga), (Karanja, 2010). Main waterlines have been extended into Obunga by KIWASCO, in which case, contractors maintain the secondary lines and sell drinking water to residents (Maoulidi, 2012). Electrical lines have been established, but the majority of the population are not connected due to the high cost (Maoulidi, 2012; Ministry of Lands, 2006). Obunga includes a number of churches, a community hall and a bio-centre established by the NGO Umande Trust. In regards to security, there are no streetlights or police posts within the neighborhood, (Maoulidi, 2012).

With respect to the individual plots, each landlord has attempted to maximize their rental income by fully building out their parcels of land (UN Habitat, 2007). Approximately half of the housing was made of mud and stick walls with corrugated metal roofs (Maoulidi, 2012). Other materials include walls made of brick, corrugated metal sheets and concrete. Many parcels offer a pit latrine/bathhouse and a shallow borehole for bathing, washing clothes and dishes and in some circumstances, drinking. Solid waste is either burned or buried on site, or is dumped indiscriminately into the surrounding environment (Maoulidi, 2012).

This informal settlement was selected as the site of study because it is rather dense in comparison to other slum areas in Kisumu belt. The inadequate physical infrastructure and basic social services in this area is comparatively worse than in other slum areas. Although residents have proof of ownership, demand for land in this area remains scarce and there is a distinct lack of new owners to build quality housing. Obunga is also the area with the worst road network. Roads are generally impassible due to poor drainage and inadequate spacing of houses and other buildings. Blocked storm drainage and sewer are widespread (Maoulidi, 2012; Karanja, 2010; UN-Habitat, 2005). Bearing in mind that there have been NGOs and CBOs working in the settlements over the years, the state of the settlement makes it an interesting site of study. This is
to say the study sought to investigate the effectiveness of the work done in service delivery and sustainability of the same.

1.9 Limitations of the study

Limitation of the study was the unwillingness of some of the respondents in taking part in questionnaire filling. This was tackled by persuasion and convincing them that the study may contribute to better service delivery in the area. Another constraint was limited funds. This was tackled by drawing an activity time-plan that was in line with the budget.

1.10 Theoretical Framework

1.10.1 The Actor Network Theory (ANT)

Actor Network Theory (ANT), also known as enrollment theory or the sociology of translation emerged during the 1980s, primarily with the works of Bruno Latour, Michel Callon and John Law. The theory represents the products and process of interactions among actors. When actors and their interactions are taken together, they form a network. Actors are equal except in their ability or capacity to get things done and impact or interact with other actors (Latour, 1987). Actors can be individuals, organizations, institutions, and even objects (for example, of technology.) A primary product and process of actor interactions are translations through persuasion and the negotiation of common interests (Callon, 1986; Latour, 1987). Convergence within a network is the degree to which the processes of translation and circulation lead to agreement (Callon, 1991). Actors that are strongly aligned share a vested interest in each other's activities. Poorly aligned actors require frequent negotiation of their interactions or may cease to interact. Continued alignment among actors contributes to the durability of an actor network. Alignment and durability can lead to punctualization, where subsets of the network are seen (or rather not seen) as a 'black box' (Callon, 1991; Latour, 1987). Lastly, obligatory points of passage are actors in the networks that serve as an intermediary between other parts of the network. Strong obligatory points of passage tend to control access to resources by other actors in the network.
The methodological approach to representing actor networks is to identify interactions and connections (Latour, 1987). Participating actors are those identified through interaction with some circulating article or flows, such as money. The difficulty in investigating actor networks lies in identifying the possible interactions and circulations that serve to create the network. Callon (1991) suggests that there are four common types of flows: texts, technical artefacts, human beings, and money; Martin (2000) proposes information, skills, money, and control. Tracing flows reveals the main connections between actors in the network.

In practical terms, actor-network analysis can help discover, for example, actors that are not interacting but should, actors that control vast resources (strong obligatory points of passage), networks that foster intense competition (weak obligatory points of passage), and interactions that are inappropriate or weaken the network (Martin, 2000; Law and Callon, 1992). Strong and continued alignment among actors contributes to the durability of a network (Callon, 1991). Interestingly, Martin (2000) argues that the resilience of a network is the capacity to continue functioning despite substitutions or changes in the participating actors or their pattern of interaction.

1.10.1.1 Actors in the network

Important types of actors within the context of informal settlement are government, non-government, and residents. Important government actors are the central government and the county or municipal government. Residents can be usefully categorized with respect to the legal status of their home. There is a vast array of social relationships between residents, as well as neighborhoods or settlements in various states along the way to legalization. For the purpose of this analysis, however, a binary of informal settlements versus legal neighborhoods is most useful. Lastly, important non-government actors include NGOs (international non-profits and community-based organizations), the private sector, and the informal sector.

1.10.1.2 Flows in the network

The three significant types of flows are financial, oversight, and service. These flows are similar to those identified by Callon (1991) and Martin (2000). How a particular flow is
manifested can vary significantly, depending on the actors involved. Financial relationships include central appropriations, taxes, grants, donations, wages, and remittances. Oversight relationships include laws, regulations, formal rules, contracts, and cultural or social norms. Services are the most wide-ranging type of relationship and can include categories such as labor, consulting, utilities, provision of materials, infrastructure and training.

1.10.1.3 Assumptions of Actor Network Theory

As explained above, residents provide external services in the form of wage labor; this labor is probably primarily service work but also includes construction and industrial occupations. The other significant external service provided by residents is voting, both for central and municipal officials. Informally, this service can be exchanged for inflowing services, such as infrastructure construction. NGOs may provide services to settlement residents, for example in the form of lobbying the central government for legalization. The NGO serves as an intermediary that does not distort settlement residents’ interests. It is unclear whether there are other intermediaries for the informal settlement residents. Certainly, both the central and municipal governments provide services for informal settlement residents, but the interests behind these services are difficult to determine. The most common services are infrastructure construction, construction materials, and utility services. Any type of actor can apparently provide each of these types of services. This results in a wide variety of alternatives of varying quality and efficacy, in addition to frequent instances of working at cross-purposes. In contrast, the informal settlement residents have a unique set of service relationships with abutting legal neighborhoods. These include limited access to the informal settlement and downstream issues such as disposed garbage and sewage overflow (a negative service).

Settlement residents do not necessarily have access to the central government, much less to the offices that can meet their needs, except in contexts where voting is a significant flow. This low accessibility, combined with the presence of NGOs, surely has contributed to the durable alignment (that is, punctualization) of the settlement residents and NGOs towards obtainment of services and legalization. The most accessible actors for the settlements are NGOs and the commercial sector (whether formal or informal), but again this accessibility is context-
specific and does not necessarily apply to service delivery (for example, NGOs must be on the
ground and initiate communication and settlement residents must have money or labor to trade).
Further, NGOs are only accessible to some individual settlements; they are not working in all
settlements and settlements may or may not be able to successfully solicit the assistance of
NGOs. As a result, communication and coordination on service delivery for informal settlements
is limited, even though there is a recognized need by most actors.

Settlement residents do not have significant access to income; they do not play a central
role in the network with respect to flows of money. However, increased income would result in a
greater capacity for residents to provide and access their own services. This observation is also
related to the themes of cooptation and network instability. That is, external actors provide
minimal opportunities to informal settlement residents to influence the allocation of funds used
in improving the settlements. Residents could use this influence, the same way they might use
greater income to more directly reduce their poverty and vulnerability, while avoiding
cooptation.

1.10.2 Public Goods theory

The existence of NGOs is explained by the 'public goods theory' as being a result of
government failure. According to the 'public goods theory' NGOs exist to satisfy the residual or
unsatisfied demand in societies by supplying the public goods that are not provided by the
government. The public goods theory implies that the state tends to provide public goods at the
level which satisfies the median voter where there is majority support (Tvedt 1998). Hence, if
public goods are supplied conventionally, then a significant minority may be excluded. NGOs
then step in to fill the gap left by government by providing services to the excluded communities.
For example Idahosa (2008) adds that "the weakening of the African state has further re-enforced
the complementarities of non-state actors like NGOs, who have made themselves attractive to
global institutions because they appear to be able to fill policy and practical lacunas". This
relates to the role development NGOs play when working in informal settlements. Informal
settlements could be seen as marginalized or minority communities and NGOs working in these
settlemens could claim to fill the gap left by government in assisting these communities to access services.

1.10.2.1 Assumptions of Public Goods

a. Equality of need: We all have certain basic needs in common such as food, clothing, and shelter.

b. Scarcity: Factor one wouldn’t really be a problem at all except for factor two which is scarcity. There is not an unlimited supply of food, clothing, and shelter just to name the essentials. Economists know this all too well and often define economics as the study of the scarce allocation of resources which have alternative uses.

c. Equality of human power: Here is the factor that really creates a serious problem when combined with factors one and two. For a time, a few can perhaps take control and take what they want at the expense of everyone else. But, in the long run, this power cannot be sustained because one person’s weakness is another person’s strength. One person may have force on their side, but perhaps others have another advantage. In the end these differences tend to even out which creates a situation where everyone is at war against everyone else for the same scarce resources.

d. Limited altruism: One solution to the problem is to rely on the kindness of strangers. But, this won’t work either since we all have limits to how altruistic we are. Reality is, we are not infinitely compassionate towards our fellow human beings.

So, taken together these factors create real problems in the absence of any social order or moral rules.

1.10.3 Criticism of the theories

Like any other theory, The Actor Network Theory has received criticisms. The major disadvantages involve questions about whether the theory ever had a basis in history and how it addresses non-participants in the network.
Some critics have argued that Actor Network Theory may imply that all actors are of equal importance in the network. This critique holds that Actor Network Theory does not account for pre-existing structures, such as power, but rather see these structures as emerging from the actions of actors within the network and the theory's ability to align actors in pursuit of their interests. Therefore, Actor Network Theory has been criticized as overly managerial in focus.

Some critics have argued that research based on Actor Network Theory perspectives remain entirely descriptive and fails to provide explanations for social processes. Actor Network Theory, like comparable social scientific methods, requires judgment calls from the researcher as to which actors are important within the network and which are not. Critics argue that importance of particular actors cannot be determined in the absence of 'out-of-network' criteria. Similarly, others argue that Actor-Networks risk degenerating into endless chains of association (that is, we are all networked to into another).

On the other hand, The Public Goods theory implies that the state tends to provide public goods at the level which satisfies the median voter where there is majority support, this may not be the case in some instances; for example, in Kenya majority of the votes come from highly populated areas such as informal settlements and the rural areas. In a perfect situation we would expect that such populations should enjoy development initiatives the most, however, this has not been the case since they are the least considered in sharing of 'the national cake'.

Both theories also seem to have two groups left out; non-human animals and non-rational humans. Strictly speaking both groups are left out, and hence raises question regarding issues of sustainable development. That is, all system dynamics should be considered; for instance, natural hazards can be caused by population pressure in informal settlements.

In order to ensure that the above criticisms do not affect the current study, the researcher intends to use responses from the critiques as recommendations to improve relevance of the study. The responses will help understand the theory gaps and hence be keen on ensuring the gaps will not affect the study. The researcher will also use recommendations from empirical studies on how to counteract the theory weaknesses and gaps.
1.11 Conceptual framework

The focus of this study is the effectiveness of CBO/NGO's' work in improving service delivery in informal settlements. The effectiveness can be analyzed in line with the research objectives. Independent variable is the variable hypothesized to cause or influence change. In the study, NGOs and CBOs are hypothesized to see if they cause change. Hence the independent variable is NGOs and CBOs. The dependant variable is the variable which change because of the influence of another. Health; education and water and sanitation services may change due to the influence of NGOs and CBOs. Hence the independent variables are health; education and water and sanitation.

Figure 1.1 Conceptual framework
1.12 Operational definition of terms

Access to Water: In this study, access to water means that a household has improved water supply if it has sufficient amount of water for family use, at an affordable price, available to household members without being subject to extreme effort.

Community: By this term, the researcher means a social and residential group sharing common experiences, perspectives and also the physical proximity to others in the sense of villages or neighborhoods.

Community Based Organizations (CBOs): For purposes of this thesis, CBOs are defined as informal institutions that are formed by members of a community to address a common need or issues needing addressing

Durable housing: Researcher uses this term to mean a house that is built in a non-hazardous location, has a permanent structure and adequate enough to protect its inhabitants from the vagaries of weather.

Empowerment: This terminology when used in this document refers to the capacity of individuals, groups or communities to take control of their circumstances, exercise power and achieve their own goals, or able to help themselves and others to maximize the quality of their lives.

Household: This terminology as used here defines a family or all people living together in the same house or immediate compound. In this study, therefore a household refers to dwellers of an informal settlement residing in the same shack.

Illegal settlements: A house or settlements constructed without adhering or conforming to planning rules, construction requirements and tenure. The increasingly unacceptable equivalent terminology is “slum” meaning overcrowded, dilapidated structures, within and beyond city center or densely urbanized areas.
**Sanitation**: This is defined herein as access to an excreta disposal system, either in the form of a private toilet or a public toilet shared with a reasonable number of people, is available to household members. This also includes proper waste management and environmental management.

**Security of tenure**: In this document, security of tenure is defined in terms of the legal right to live in a house or use a piece of land. Security of tenure provides conditions under which land or buildings are held or occupied either by an individual or community.

**Squatter settlements**: squatter settlements refer to settlements established by people who have illegally occupied an area of land and built their houses upon it, usually through self-help processes. Included in this category are settlements established illegally on pavements or rooftops. They also imply self-help or self-built settlements; spontaneous settlements; marginal settlements; squatter areas, shanties and slums.
CHAPTER TWO

LITERATURE REVIEW

2.1 Review of Empirical Studies

2.1.1 Health service delivery

The African Population and Health Research Centre claims that the mortality rate of the African Urban poor is now higher than residents from any other population subgroup including the rural poor. This is attributed to inadequate access to health services, compounded by unhealthy living environments encountered in rapidly growing urban informal settlements (APHRC, 2002). In most developing countries, poor capacity to deliver public services such as health has resulted in less progress being made on the health Millennium Development Goal. As was highlighted in 2005 (DFID, 2005), reports around the September 2010 MDG Summit confirmed higher under-five child mortality and other poor health indicators in most of the African states.

People’s health is determined by a range of factors and derives from the interplay between many biological and social determinants, including income, environmental factors, education and health service delivery. A well-known example is female education as the single independent factor influencing children’s health (Cochrane, Leslie and O'Hara, 1982).

Health service delivery is the most visible part of a health system and can be very broadly defined as 'the mobilization, management and distribution of health resources including staff, commodities, equipment, information, and financing to serve the health needs of a specific population, contributing to effective and equitable health outcomes (WHO 2007). Health service delivery typically excludes delivery of or integration with other major determinants of health like water, sanitation and education. It is a function of five other health system building blocks, that is: information, leadership and governance, health workforce, health finance and health technologies including drugs and infrastructure. With sufficient coverage and quality of services the system should be responsive to a population’s needs, protect against the financial risk of disease and improve health outcomes (WHO, 2007).
Most developing countries are used to government provided and financed health services as the mainstay of the health sector, with varying degrees of direct financial contributions from patients through out-of-pocket expenses, as well as different levels of private sector involvement (for example NGOs and for-profit private practice). These government-led health systems are poorly developed, have often deteriorated, and health outcomes are poor (Salama, Spiegel, Talley and Waldman, 2004). Accountability for the poor services offered is usually weak and the out-of-pocket payments lead to exclusion of the very poor (Gilson and McIntyre, 2005) and substantial financial risk for households with serious illness (Xu, Evans, Kawabata, Zeramdini, Klavus and Murray, 2003).

During the last decade, the provision of a basic package of health services, free of charge, to all citizens, as a core policy element became a commonly promoted approach (Strong, Wali and Sondorp, 2005; Cometto, Fritsche and Sondorp, 2010; and Kruk, Rockers, Williams, Varpilah, Macauley, Saydee and Galea, 2010). Part of this approach may be contracting third parties, often NGOs, to provide the services on behalf of the government. One concern with this approach may be low visibility for the government and hence fewer legitimacy gains (OECD, 2010). This concern may be off-set by co-branding and by providing comprehensive services of higher quality by Non government Service Providers that in principle are much more accountable than the government’s service delivery mechanisms, and have the potential for a wider impact on both health outcomes as well as on socio-economic determinants of health (Carlson, de Lamalle, Fustukian and Newell-Jones, 2005). As with healthcare provision, most developing countries are likely to remain dependent on external support to provide a minimum package of health services that are likely to meet the expectations of their populations, even if they do manage to increase national budgets (Pearson, 2009).

2.1.2 Water and sanitation service delivery

There have been several attempts to define access in studies on health and environmental services intended to support the poor (such as Penchansky & Thomas, 1981; and McLafferty, 2003). Despite their attempts to define the concept of access, these authors acknowledge that the concept is used in different ways throughout literature and has often been ill-defined. In this
paper access refers to the ability to use water, sanitation and solid waste services. Scholars have categorized factors determining access in various ways. Barton (2003), for instance, shows that actual access may be influenced by factors such as predisposition, needs and enabling factors. Predisposition factors include individual characteristics such as age, gender, and education, while need factors relate to demand and enabling factors to physical and socio-economic abilities to access, such as income and cost. Determining access factors more related to the research are spatial proximity, performance perception and socio-economic factors, and one less commonly investigated sets of factors (social proximity).

a. Perception factors

Perceptions of service users on service providers can influence access to these services. Cronin and Taylor (1992) argue that performance perceptions are proxy variables for the evaluation of service quality. Perceptions on performance (or service quality) could influence access to the service. Such perceptions of service quality have been described as attitude that results from the comparison of expectations with actual performance (Bolton & Drew, 1991; Parasuraman, Zeithaml, & Berry, 1988 in Cronin & Taylor, 1992). We thus expect attitudes of households to NGO/CBO services to be correlated to the perceptions of the quality of their services, and in that way influential in actual access of households to water, sanitation and solid waste services. Perceptions of competence of a service provider is another important factor that may determine access, as suggested by Price, Arnould, and Deibler (1995); and Spreitzer (1995). Perceptions of incompetent service providers contribute to negative feelings about the service and service quality, inhibiting access.

b. Socio-economic factors

Socio-economic factors such as income and service costs have been widely suggested as main drivers to access services (Moe & Rheingans, 2006; Montgomery & Elimelech, 2007; Wan & Francisco, 2010). According to these scholars, there is sufficient evidence that these factors play a significant role in the access of urban residents to services of water, sanitation and solid waste collection. Nonetheless, especially in more homogeneous neighborhoods (such as poor slum areas) and with not-for-profit organizations as urban service providers economic factors
might not be the only or even the main factors determining access of these poor residents to urban services. They further state that education is also often seen as an important determinant for access to public services.

c. Spatial proximity

Few scholars (Allard, 2004; and Allard, Tolman, & Rosen, 2003) have studied the influence of spatial proximity on access of the urban poor to social services. These scholars argue that proximity to social service providers increases the likelihood of service utilization of individuals in need of care or assistance. Allard et al., (2003) further point out that, spatial proximity to social service providers is an important condition for adequate access to governmental and non-governmental service providers, as low income individuals who are not proximate to service providers will face greater obstacles to receiving assistance than low income individuals living near service providers. Furthermore, individuals are believed less likely to have information about service providers outside their immediate geographical area, reducing the likelihood that they seek services from these less proximate, but potentially helpful, providers. Some have argued that neighborhood residents may view a nearby NGO facility as inaccessible if it is located beyond their (socially defined) neighborhood boundary, (Montgomery, Stren, & Cohen, 2003). Others have suggested that the activities of NGOs are spatially organized (James, Schulz, & van Olphen, 2001), and that spatial proximity of network members may be a requirement if they are to provide one another with day-to-day assistance.

d. Social proximity

Social proximity refers to the dense interactions and 'bonding' of social relations in social networks. Social relations are fundamental elements for our every day existence and often studied through social networks which in general terms are composed of a set of nodes or actors (individuals or organizations) mutually connected by a set of social relationships with specific kinds of interdependencies such as shared values, cultures, visions, or ideas (Barnes, 1954 and Brass, 1992). The social network perspective enables researchers to study the social actors (Galaskiewicz & Wasserman, 1994), and their beneficiaries as well as the social relations
between them and the implications of these relationships on, for instance, the provision of and access to services.

Bendapudi & Berry, 1997; and Lovelock, 1983 have indicated that many services by their very nature require ongoing membership, and that even when membership is not required, customers may seek on-going relationships with service providers to reduce the perceived risk in assessing service credibility properties. Bendapudi and Berry (1997) further suggest that, interaction between the customer and the service provider has the potential to strengthen, weaken or even destroy the relationship between them. They explored the frequency of interaction between the customer and the service provider and proposed that the more the customer interacts with the service provider the more opportunities the customer has to evaluate the service. And when interactions are satisfactory, frequency would lead to greater trust (Bendapudi & Berry, 1997). Krishna, 2004; Bowles & Gintis, 2002; and Nyangena, 2008 argue that social networks can foster cooperative behavior and ease coordination problems which in our case could ease access to NGO/CBO services. Morgan & Hunt 1994 as cited by Berry, 1997 also point out that cooperation requires an active participation in the relation to achieve mutual benefits and others define it as working together to achieve mutual goals (Anderson & Narus, 1990 in Bendapudi & Berry, 1997). To this effect (Rahman, 2004), found cooperation was essential in resolving conflicts, sensible issues and crises in NGO water and sanitation projects in third world poor urban areas.

Access of the urban poor to sanitation and solid waste services is complex and demanding because of the nature and vulnerability of this group of people. While this group of people is economically poorly equipped to deal with their issues of solid waste management, they have strong social bonds that could help them deal with such issues. As Pargal, Huq, & Gilligan, 1999 put it, solid waste servicing is an activity where individual action does not have much impact and therefore collective action, which is a function of social proximity, is necessary.

Waste is directly or indirectly one of the major challenges of urban cities around the world. Municipalities and counties have shown how inclusion of the community and other actors
can increase and achieve impressive results (UN-HABITAT, 2010). According to Baud when the municipalities cooperate with the CBOs, it results in clean neighbourhoods (Baud et al, 2001). In many countries, solid waste controlling and composting has moved up the public policy agenda in the last few years (Goharrd, 1994). Solid waste has become one of the functions that have been devolved to local governments in some developing countries Van Dijk, 2006 cited by (Van Dijk and Oduro-Kwarteng, 2007). Improper solid waste management is one of the effects of the unplanned migration and rapid growth of cities.

2.1.3 Education service delivery

Education is a right and progress in education is critical for the achievement of the wider Millennium Development Goals in areas such as nutrition, child survival, maternal health, environmental sustainability and poverty reduction. Despite impressive progress in education enrolment over the last decade, there are still 69 million children without access to primary education worldwide and 42 percent of these (28 million) live in African countries (UNESCO, 2011). Access to education is important but as the latest Education for All Global Monitoring Report (2011) states, "the real test of an education system is whether it fulfills its core purpose of equipping young people with the skills they need to develop a secure livelihood and to participate in social, economic and political life.

Children may enter education as early as 3 years old through early childhood programmes. Whilst early childhood programmes are widely acknowledged as essential in mitigating the effects of household poverty and strengthening prospects for economic growth, programmes are often not prioritized and continue to suffer from insufficient funding, fragmented planning and inequality (UNESCO, 2011). Alternative education programmes are common and often provided provide alternative methods of accessing or delivering education for children and young people, for example accelerated learning programmes or alternative curriculum provision such as peace education (Baxter and Bethke, 2009).

Education is generally viewed as a state responsibility with the government seen as the provider of education as well as the main driver of educational policy and legislation that supports universal access to basic education (Rose and Greeley, 2006; Batley and McCloughlin,
2010; and Chelpi Den-Hamer, 2011). In reality this is often understood as meaning that the state should provide education directly, so far as capacity allows (Rose and Greeley, 2006). Batley and McCloughlin (2010) found that, education more than other services, is often associated with direct state provision, based on the fact that "education provided only with regard to individual benefits will fail to realize the wider benefits (positive externalities) associated with a universally educated population, including nation-building that may result from a common syllabus and identity." In reality, where capacity and/or state incentives to provide services may be limited, non state providers including private (for profit) organisations and individual entrepreneurs; non-state (for example NGOs and faith based organisations); and communities are likely to play a role in providing education (Goldsmith, 2010).

In many countries, Faith Based Organizations or Non Governmental Organizations are a significant provider of education. For example, in Haiti only 19 percent of primary school-going children attend public schools and 92 percent of all schools are non-public (Boak, 2009). In the Democratic Republic of the Congo (DRC) 70 percent of all schools are faith-based, mainly Catholic, Protestant, Kimbanguist and Islamic (Boak, 2009). These different groups can often work in partnership with governments, for example with governments providing salaries, policy direction or even other levels of support. However, these relationships can be complex and Boak (2009) found that in the DRC, whilst there was an agreement in place between the state and the denominational associations, the agreement lacked 'a clear delineation of accountabilities on the part of the different bodies, in particular in relation to the collection of school fees, financial governance and teacher management.'

In crisis situations or emergencies for instance, international and national NGOs often step in to provide or support education service delivery. Although these organisations can have very different characteristics and agendas (Novelli and Lopes Cardozo, 2008; Paulson, 2007). Chelpi Den-Hamer (2011) states that, 'in practice one notices various attempts by international humanitarian actors to sideline national governments.' International actors can, however, also provide opportunities for change and introduce more learner-centered methodologies, child-centered environments and increase access for previously excluded age-groups, for example, through early childhood education opportunities (Nicolai 2009).
2.1.3.1 Emergence of Informal Settlements

There is a complex relationship among individuals, local communities and the use of land resources, but it is often out of balance. Urban population growth has demonstrated synergetic relationship with the growth of informal settlements especially in developing countries. Urbanization, both a driver and consequence of land use, concentrates human life and activity. It is a spatially uneven process that introduces a variety of institutional forms into larger cultural environments which are identified as urban, peri-urban and rural, (Magigi & Drescher, 2010; Obeng-Odoom, 2011). Obeng-Odoom (2011) further notes that urbanization is one likely outcome of the three essential population processes: fertility, mortality and migration, which all have a socio-cultural, economic, political and environmental context.

Urbanization is an important social and economic phenomenon which is taking place rapidly all around the world (Deng, Wang et al. 2009). As indicated in a UN-Habitat report (2004), urbanization has led to informal settlements worldwide, and they are estimated to accommodate almost one billion people. Informal settlements provide shelter to those who cannot access adequate shelter. In Africa, from Cairo to Cape Town, millions of poor urban dwellers reside in informal settlements. It is estimated that 166 million people or 73% of sub-Saharan Africa’s (SSA’s) urban population live in the informal settlements (De Vries, 2003). According to Wekesa et al. (2011) the proliferation of informal settlements, particularly in most cities of developing countries results from market and public policy failure for a significant segment of the urban poor population.

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 (unemployment, low standards of housing and infrastructure, lack of educational facilities, conflict, surplus labor) and “pull factors” of urban areas (economic opportunities, attractive jobs, better education, modern lifestyle) (Kotter and Friesecke, 2009). But in developing countries, these urban migrants often encounter great difficulties in access to land to fulfill the shelter needs, as land and housing markets are often too expensive and lengthy processes. Therefore, they could not enter the formal land and housing market. This results in the illegal occupancy of
vacant land; often publicly owned land, where there is less fear of being dislodged than from private property (Aiken, 1981). Turner (1969) argued that the informal settlements are "the product of and the vehicle for activities which are essential in the process of modernization." But Fox (2014) critically opposed the former statement mentioning it rather as "disjointed modernization in which urban population growth outpaces urban economic and institutional development." It is the consequences of land and housing market failure due to demographic, economic or institutional factors. In fact, the issue of informal settlement is manifested into endogenous factors and exogenous factors. The endogenous factors are the inherent attribute of informal settlement like financial resources, human skill while exogenous factors are lack of land and housing policy for informal settlers (Srinivas, 2005).

Kombe (2005) identifies three phases of informal settlement growth: Infancy or starting stage- prospective house seekers are converting peripheral agricultural land to residential use; Booming stage- land markets have heated up mainly because land has become attractive to high- and middle-income households. Housing densities are higher than at infancy stage. Saturation stage- a settlement development phase where open land for house development is more or less depleted and additional units are a result of plot densification and extension or encroachment on the limited open spaces including public and semi-public areas. Government approach to the housing needs of low-income urban dwellers in informal settlements has evolved from denial through hostility, benign neglect, in situ slum upgrading, redevelopment and relocation. Obviously, the success of in situ slum upgrading, redevelopment and relocation depends on the growth phase of the particular informal settlement.

According to Huchzermeyer and Karam (2006) few countries have developed national-level policies and programmes for informal settlements. Previous research into informal settlements has identified social, political and cultural forces that have been constrained by limited ability to formulate and implement effective urban management policies. These include squatter upgrading, site and services programmes and formalization of property in the informal settlements (Ndezi, 2009). The result has been piecemeal application of national urban planning procedures and policies, which have failed to form sustainable cities (Sheuya, 2009). Despite policy efforts at improving housing (via in situ slum upgrading, redevelopment and relocation)
and boosting access to low-income housing in SSA, poverty has not decreased in the margins of the townships and dwellings in informal settlements continue to grow (Govender et al., 2011). Some researchers and policy-makers consider informal settlements as a perpetual challenge for humanity (Huchzermeyer et al., 2006).

Due to increasing pressure on urban land caused by rapid urban growth, the consequences of informal settlements are rising. When considering informal settlements, the question raises regarding the "informality". Porter (2011) made a debate of informality mentioning informal does not exist outside the formal system, but is produced by the weakness in the formal structure. Indeed such informal settlement in urban areas exists in the "grey spaces", i.e. positioned between "whiteness" of legality and "blackness" of eviction (Yiftachel, 2009). This grey space is a blurred boundary between legal and illegal, acceptable and unacceptable, the planned and the unplanned (Roy, 2009).

Durand-Lasserve (2006) argues that the term informality is difficult to define in reference to settlements and economic activities. He notes that informality in the human settlement context may be defined negatively when the borderline between formal and informal is blurred. Thus whether a settlement is formal or informal depends on different policies regarding land, urban planning and housing. As with the term informality, Durand-Lasserve (2006) notes that the term illegality poses similar definitional problems, but with distinctively more repressive connotations. When this term is used by governments' authorities it reveals a clearly repressive intention and the most visible expression of repression is eviction. Although the action of occupying the land is considered by government as illegal, informal settlement residents have the same basic rights in law as other citizens. In some instances governments do attempt to provide services to the settlements as Durand-Lasserve (2006) notes, but these basic services are normally provided using temporary service-providers especially for water and transport. Moreover, these services are often provided at higher cost compared to what other city dwellers pay.

Residents of informal settlements face problems such as illegal tenure and public health challenges. As the land is occupied informally, public authorities often do not recognize or
acknowledge the existence of these settlements and they do not plan for service provision for the residents. Azfar and Rahman (2004) and Durand-Lasserve (2006) indicate that service provision such as public health and safety are major issues and remain largely uncatered for in informal settlements, as governments are reluctant to intervene because such action might be viewed as a first step towards legal recognition of the settlements and tenure.

The problem of informal settlements, which results from widespread poverty and inequality and shortages of affordable housing, is experienced both in developed and developing countries though to different degrees. This is due to differences in economic, social, political, ecological and demographic characteristics that influence the rates of urbanization and formal housing production (Aldrich and Sandhu, 1995). Housing shortages in sub-Saharan African countries are mainly the result of the historical development of African cities, immigration and high rates of urbanization (Tait, 1997). Lack of affordable housing for the urban poor resulted in significant growth of informal settlements in most urban centers (Agevi, 2003). Furthermore, rapid urbanization, and other socio-economic problems combined with the incapacity of most national or city authorities undermine the provision of adequate serviced infrastructure to their growing urban population (Agevi, 2003).

In countries where governments have repressive policies towards informal settlements, participation of citizens in these settlements via government channels is significantly limited. Most governments see an informal settlement as a problem, which needs a solution and most of the time the solution is to remove people from these types of housing to a 'better' standard of living (Srinivas, 2005). For example, between 2003 and 2007 more than 800,000 residents in Nigeria were forcefully evicted from informal settlements in Abuja without adequate consultation, written notice, compensation or alternative housing (COHRE, 2008). Also, in 2005, the Zimbabwean government demolished a number of informal settlements in Harare, leaving thousands of people homeless (Du Plessis, 2006). Du Plessis (2006) further notes that "every year millions of people around the world are forcibly evicted, leaving them homeless and in the process entrenching patterns of poverty, discrimination and social exclusion". These kinds of evictions have been happening despite international law explicitly recognizing the right to adequate housing. These forced evictions result in entrenched patterns of poverty, discrimination
and social exclusion and it is a violation of human rights that contradict human development (Du Plessis, 2006).

According to Fernandes (2011), the challenges of informal settlement are multidimensional, covering legal, socioeconomic and physical aspects. The key characteristic that delineates the informality is lack of legal recognition of these settlements. This generally refers to the lack of tenure security of the land that has been occupied. The socio-economic characteristic 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 characteristic of these settlements are generally precarious. The inadequate public services such as water supply, electricity, roads, drainage, and absence of open spaces have made the areas resembling the characteristics of slums (Srinivas, 2005; Fernandes, 2011). Among the three characteristics, the legal/institutional issues are dominant characteristic as it is affecting the socio-economic conditions of settlers and physical conditions of the settlements. The public investment in infrastructure is often discouraged in this settlement. The reasons are in twofold. Firstly, such settlements are ineligible for investment and secondly, public authorities are in fear that the public investment might constitutes tacit recognition of occupancy rights and encourage further illegal settlement (Fox, 2014).

Locally, there has been rapid growth in the urban population of Kenya from 5.1 per cent to 20.9 per cent from the year 1984 to 1997, and 52 per cent of the total population is living on less than a dollar (Majale, 2005 in: Gardner, 2003). This has resulted in a high poverty rate in Kenya where urban dwellers face lots of problems from unemployment, inadequate housing, lack of infrastructure and inappropriate policies and regulations (Majale, 2005).
Table 2.1: Urban Population in Four Census Years in Major Urban Centers.

<table>
<thead>
<tr>
<th>URBAN CENTER</th>
<th>CENSUS YEARS</th>
<th>1979</th>
<th>1989</th>
<th>1999</th>
<th>2005</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nairobi</td>
<td></td>
<td>827,775</td>
<td>1,324,750</td>
<td>2,143,254</td>
<td>3.0 M</td>
</tr>
<tr>
<td>Mombasa</td>
<td></td>
<td>341,148</td>
<td>461,753</td>
<td>665,018</td>
<td>1.0 M</td>
</tr>
<tr>
<td>Kisumu</td>
<td></td>
<td>152,643</td>
<td>192,733</td>
<td>322,734</td>
<td>0.5 M</td>
</tr>
</tbody>
</table>


These unprecedented rates of urbanization can be linked to massive migratory movements as well as to natural growth, challenging urban planning and thereby causing environmental problems with far reaching effects. While the low quality of housing and the general lack of basic infrastructure especially sanitation, drainage, access to energy and clean water supply result in poor social and environmental conditions, high levels of unemployment and low income give rise to conflicts (Beatley, 2000; Smith & Hanson, 2003; Pamoja Trust, 2009). The situation is not helped by lack of supporting policies for effective urban planning and improvement.

Kenya’s annual informal settlements growth rate of 5%, is the highest in the world and it is likely to double in the next 30 years if positive intervention measures are not put in place (UNDP, 2007). According to UN-Habitat (2003), the experience in these slums shows a strong link that people living in poverty are trapped in their present (World Economic and Social Survey, 2008) situation because they are excluded from the rest of the society. Unfortunately, they are not empowered to allow them to make any significant contribution to community building (United Nations Population Division, 1998; Mutisya, 2010).

Numerous reports and projects on informal settlements in Kenya have been undertaken in recent years, including the 2003 launch of the Cities Without Slums (CWS) initiative by the Government of Kenya and UN-HABITAT. Several other approaches have been used to collect data at the sub-national and sub-regional level in Kenya. For instance, in 2007, a Citizen’s Report Card (CRC) was organized by the Kenyan government with support from the World Bank, and in 2010 a slum enumeration exercise was conducted by the NGO Pamoja Trust and
the City Council of Kisumu (GoK/WB/WSP, 2007). However, the Kenya CRC focused on satisfaction with social services in Kisumu, Mombasa and Nairobi but did not gather information on employment or household income. The slum enumeration exercise used community organizations thereby enabling these groups to identify their key needs and plan their own solutions (Maoulidi, 2012).

The evaluation of policies and interventions dealing with informal settlements in Kenya fits well in five stages namely: clearance and forced migration; clearance and public housing; provision of minimum services; extension of tenure security and physical upgrading; and recognition of the legitimate role of low income settlers and other stakeholders in urban development. These stages and interventions have introduced shift in slum policy that have in turn immensely contributed to the nature and extent of slums and informal settlements today (Agwanda, 1997).

In 1986, the Government ushered in the implementation of Structural Adjustment Programme (SAPs) which were expected to lead to economic growth. SAPs required that the state withdraw from service provision and government subsidies and instead facilitate and provide enabling environment for housing development. At this stage, a variety of policies governing land delivery, building and infrastructure, land use, long term financing and cost recovery and the role of private sector were brought to harmony with the objective of fully and productively integrating the low income majority into the urban development process. This is the enabling approach in which the Government moved away from direct housing provision and concentrated more on creating incentives and facilitating measures to enable other stakeholders provide housing and basic services (GoK, 2003).

These strategies are articulated in the revision of Housing Policy, revision of the building by laws and planning regulations, research in and dissemination of low cost building materials and technologies and the restructuring of the financial institutions to provide for private sector participation in the housing development process. The approach has seen the increasing involvement of NGOs in various informal settlements improvement projects. Although these interventions have had considerable impacts on informal settlements, the settlements have
continued to thrive in most urban centers of Kenya. The schemes provided under public housing programmes were successful in meeting some of the demand for shelter, but they tended to exclude target groups from the planning process and were subject to corruption in the allocation procedures due to shortage of supply (GoK, 2003; UN-Habitat, 2003).

The problem of housing is that of acute shortage in the number of dwellings, inadequate infrastructure, community facilities and services, overcrowding and substandard human settlements. This situation has been aggravated by recent changes in socio-economic development strategies in a liberalized world economic order (Maoulidi, 2012).

2.1.3.2 NGOs and service delivery

Non-governmental organizations (NGOs) are a component of civil society. Different dimensions have been used in defining NGOs, such as the size, organizational structure, operational programme areas, geographical specificity, funding sources and membership structure (Bartlett, 2005). With reference to the different dimensions, Farrington and Bebbington (1993) define an NGO as an organisation that ‘embraces everything outside the public and private commercial sectors’. In Cernea's (1988) definition, NGOs are private organisations that pursue activities to relieve suffering, promote the interest of the poor, protect the environment or undertake community development. Their objectives are primarily to relieve suffering and assist with developmental issues at the community level rather than commercial objectives.

The role of NGOs has grown significantly in the past three decades. Their importance has increased and they have become influential in global governance. The influence of NGOs in international as well as local policy fora and debates is to a large extent due to their ability to reach out to the poor and the marginalized (Dicklitch, 1998 & Hearn, 2007). In peripheral countries, most NGOs work with groups of people or communities living in informal settlements where among other things tenure is insecure, shelter is inadequate and access to basic services such as water and sanitation is precarious.

The roles and strategies of NGOs have evolved over time. Korten (1990) indicates that the initial focus of NGOs was on providing effective relief operations during humanitarian
emergencies. Since then, the operations of NGOs have expanded to include community
development, promoting sustainable development systems and offering support to peoples'
movements. Today NGOs can be categorized in relation to their objectives or orientation,
William (1991) and the World Bank (2001) categorize NGOs according to their objectives into
charitable, service oriented, participatory, empowering, advocacy and operational NGOs. In
addition, Cernea (1988), Korten (1990) and William (1991) distinguish NGOs according to the
level of operation which range from local community-based to international NGOs.

Virtually all Third World cities face an acute shortage of affordable housing, which has
contributed to a significant increase in the number of informal settlements. Governments' views
and responses to informal settlements are varied, ranging from tolerating them and sometimes
upgrading them, to seeking solutions for their elimination (Agevi, 2003). Informal settlements by
their nature create a number of challenges for NGOs that seek to convey the needs of the resident
communities to government. This is mainly because of the many barriers in these communities
that include illegalized occupation. The illegality of informal settlements, according to Durand-
Lasserve and Tribillon (2001) and Payne (2002) is often as a result of the residents of informal
settlements not owning the land or house they occupy. They have not entered into a formal
agreement with the land owners and they do not comply with planning and building laws and
regulations. In some cases, they may own the shelter but the illegality of residence still remains
as they may not comply with the local government ordinance.

In addition to government working with informal settlement communities, NGOs have
been sought to assist in development issues in the informal settlement. Huchzermeyer et al.
(2006) note that civil society concern for informal settlements varied over the decades. There
was strong concern in the late 1970s and 1980s. With increasing evictions, involuntary
relocations and a persistence of unequal distribution of land rights in the 1980s, civil society
organizations' support for informal settlements re-emerged in the form of the number of new
urban development NGOs. NGOs claim success in their work with marginalized communities as
their legitimacy is based on their ability to project the plight of the marginalized communities to
government and donors. Robins (2008) adds that NGOs are especially well placed to do this
work of moral intervention precisely because they are not run directly by government and are assumed to act on the basis of ethical or moral imperatives.

NGOs are seen as being better equipped than local governments to implement community participation in minority or marginalized communities (Clark, 1995). It is argued that NGOs have this advantage over government because the size of any country and its population makes it difficult for direct involvement of all individuals in decision-making processes in governance. In government, individuals' interests are only represented by their vote. This type of representation does not allow for minority needs and interests to be heard, as it only covers majority interests. Therefore, Morrill (2004) argues that for minorities to be heard, they must organize themselves into small groups with organisation such as NGOs representing them. The arguments of Clark (1995) and Morrill (2004) are further supported by ideas from Abbott (1993) and Dicklitch (1998) who indicate that NGOs are better agents of community participation than government in representing poor and marginalized people's needs and interests.

According to Fowler (1995) NGOs are in a better position to adapt their organizational structure, methods and processes to enable them to engage with communities in ways that gain a greater degree of participation and local input in providing the services they need. There is a body of literature on NGOs and the work they do with marginalized communities in general and in informal settlements in particular, for example Otiso (2003) indicate the important role NGOs play in mobilizing and assisting communities articulate their needs to government and other agencies, and act as intermediaries between government, businesses, donors and communities. Winayanti and Lang (2004) also add that NGOs play a crucial role in mobilizing the resources of the urban poor communities.

In the past 25 years, Africa has seen a huge growth in both numbers and influence of national NGOs (Hearn, 2007). Idahosa (2008) notes that the growth of NGOs in Africa has mainly been due to Africa's economic crisis. During the 1970s and 1980s the state was often viewed as a major source and cause of development's uncertainty and/or decline (Idahosa, 2008). In addition to the economic crisis, governments have failed to promote development. This resulted in NGOs being seen as a more effective option to deliver certain types of programmes.
NGOs also became important channels for the funds of official development agencies (Idahosa, 2008).

The proliferation of NGOs that are involved in service provision in developing countries has been a direct outcome of inadequate service provision by those mandated to do so or as contended by Sansom et al. (2004) that, these organisations are in existence to compensate for the limited capacities of municipalities and other public sector providers in many low income countries. UN (2003) gives another dimension to this assertion stating that, "service delivery through markets and private initiatives is held to be more efficient than through the state, while because of their supposed cost effectiveness in reaching the poorest, NGOs have become the preferred channel of official agencies wanting to provide welfare services to those who cannot be reached through the markets."

The wide range of NGOs can be broadly grouped into three main criteria, namely: the level of operation or location of NGOs; their objectives or orientation; and/or the period they came into existence. This has implications for their objectives and role in relation to communities. Cernea (1988), Korten (1990) and William (1991) use different terms in describing these three categories of NGOs.

a. **Level of operation**

The level of operation refers to the geographical location of the work of NGOs. William's (1991) first category is CBOs, which refers to NGOs that are mainly devoted to helping people understand their rights in gaining access to needed services. Korten (1990) describes these organisations as individual or community NGOs and Cernea (1988) refers to them as grassroots/local NGOs that grow out of local communities and are committed to having an impact on their constituents' lives.

The second category of NGOs refers to city-wide organisations (William, 1991), or national NGOs (Korten, 1990). Cernea (1988) refers to them as southern/national NGOs. The third category according to William (1991) covers international NGOs, Korten (1990) refers them as NGOs operating at global level, and Cernea (1988) refers to them as
northern/international NGOs with activities covering a number of different countries other than their home country.

**Table 2.2: Types of NGO by level of participation**

<table>
<thead>
<tr>
<th>Level of operation</th>
<th>Description</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community NGOs</td>
<td>Arise out of peoples' own initiatives e.g. sports clubs, women's organisations, neighborhood, religious or educational organisation.</td>
<td>Community Based Organisations (CBO)</td>
</tr>
<tr>
<td></td>
<td>Large variety supported by NGOs, national or international NGOs, or bilateral or international agencies, and others independent of outside help.</td>
<td>Individual NGOs</td>
</tr>
<tr>
<td></td>
<td>Devoted to raising the consciousness in communities, or helping them understand their rights in gaining access to needed services, while others are involved in providing such services.</td>
<td></td>
</tr>
<tr>
<td>National NGOs</td>
<td>Include organisations such as the Rotary or Lion's Club, chambers of commerce and industry, coalitions of business, ethnic or educational groups and associations of community organisations.</td>
<td>Citywide organisations</td>
</tr>
<tr>
<td></td>
<td>Some exist for other purposes and become involved in helping the poor, and some are created explicitly with purpose of helping the poor</td>
<td>Southern NGOs</td>
</tr>
<tr>
<td>International NGOs</td>
<td>Range from secular agencies such as Save the Children organisations, OXFAM, CARE, Ford and Rockefeller Foundations to religiously motivated groups.</td>
<td>NGOs operating at global level</td>
</tr>
<tr>
<td></td>
<td>Their activities vary from mainly funding local NGOs, institutions and projects, to implementing the projects themselves.</td>
<td>Northern NGOs</td>
</tr>
</tbody>
</table>

b. Objectives of the NGOs

A categorization by objectives or orientation mainly differentiates NGOs according to their different roles in communities. Based on William (1991) and the World Bank (2001) there are six categories of NGOs. These include charitable NGOs which provide relief with little participation by the beneficiaries; service oriented NGOs which are programme oriented and provide services such as health and education and participatory NGOs focusing on self-help projects helping communities identify their needs and contribute to the implementation of the project. Other categories are empowering NGOs which make people aware and understand factors affecting their lives and help them to take control of their lives; advocacy NGOs which defend, promote and lobby for people and their rights and operational NGOs which focus on design and implementation of projects.

c. NGOs according to different generations

NGOs can also be categorized according to the period that they came into existence. The first generation of NGOs focused mainly on relief and welfare where the scope was to deal with individuals or families. For example, "many of the large International NGOs such as Catholic Relief Services, CARE, Save the Children, and World Vision began as charitable relief organisations to deliver services to the poor and unfortunate, (but with) limitations of relief and welfare approaches in the stress of local self-reliance; with intent that benefits would be sustained beyond the period of NGO" (Korten, 1987).

Due to the "limitation of relief and welfare approaches as development strategy many (second generation) NGOs took community development to improve self-reliance and sustained benefits after NGOs leave the community" (Korten, 1987). The second generation of NGOs dealt with community development involving neighborhoods or villages. The third generation of NGOs focused on sustainable systems development with a regional or national scope. The fourth generation are people's movements with a national or global scope. It should be noted that these different generational NGOs can evolve from one level to another and no generation has completely disappeared. All generations of NGOs co-exist together even today.
Different types of NGOs play different roles in communities. There are different views on the role of NGOs. Ley (2009) explains that the experience of global interrelated problems has stimulated the emergence of an international civil society characterized by NGOs entering in international policy arenas: and globalisation has influenced NGOs which have become actors on multiple levels with multiple linkages. More recently also locally based NGOs from the Global South are representing their constituencies in international arenas.

NGOs have grown in importance and numbers for the past few decades. According to Dicklitch (1998) they have become influential in global governance with the arguments that they are capable of reaching the poor/marginalized communities, and could therefore be used as agents of community participation to represent poor people's needs and interests. Dicklitch (1998), looking at NGOs in Africa, indicates that the recognition of the important role of NGOs began in the early 1990s, when NGOs were considered to have closer links with the communities. Hence NGOs became important in poverty alleviation, and humanitarian and emergency aid provision initiatives. Hearn (2007) states that "when NGOs emerged in the 1980s and 1990s in Africa they were seen as 'magic bullet', the solution to top-down development and the means to poor people's empowerment". Dicklitch (1998) argues that since then, NGO activities have expanded and by the late 1990s were being heralded as important vehicles for empowerment, democratization and economic development. This has resulted in the increasing funding and the number of NGOs, especially in East Africa (Hearn, 2007).

In addition, NGOs play an important role of service providers (Fowler, 1995) in filling the gap left by government and the market. The World Bank (2004) notes that NGOs can play a role in increasing project-reach and sustainability by making it easier for communities and government or other institutions to have a dialogue with local communities, which in turn helps in promoting participation and creating ownership of development projects. Other roles NGOs can play include being catalysts for change and playing a key role in creating a civic culture, pluralizing the political, economic and social arena, and bridging the gap between the masses and the state by acting as intermediaries (Dicklitch, 1998).
2.1.4 Gaps and criticism in the studies

There are opposing views to the camp that espouses increased roles for NGOs in service delivery on account of their attributes which appear to be in tandem with the needs of the poor communities. Those in opposition point out that, NGOs have intrinsic limitations from a legal standpoint, as they do not have the capacity to make binding, non-voluntary decisions that a government (or government formed entity) can effect (Ostrom et al., 1993). Also, interventions that NGOs embark on usually arise out of an emergency situation implying that in most cases, no due regard is given to issues that concern the legal status and ownership of say the infrastructure for a project which can potentially turn out to be a complex legal quandary after service levels have been stabilized (WUP, 2003).

NGOs have been criticized for being motivated by careerism and funding. Robins (2008) notes that NGOs are also routinely challenged for introducing processes of individualism and depoliticization that undermine the possibility of collective mobilization and promote the interests of the state and neo-liberal capital. Robins (2008) further explains that some have argued that the term franchise state accurately describes the new relations between NGOs and the state in neo-liberal contexts wherein NGOs subcontract the management and administration of essential services from the state. Mainstream NGO literature tends to portray NGOs as autonomous, participatory and accountable (but this has changed and), such description of NGOs are now being routinely deconstructed as NGOs myths, with critics' claims that NGOs have lost their critical edge as they have become increasingly under pressure to manage their programmes on a profitable basis, with state subsidies cut and soft loans and grants for development programmes being minimized.

Lastly, NGOs are likely to face resource constraints that can prevent them from scaling up to match the needs of the ever growing poor and increasingly impoverished urban population (Franceys, 2008). Sustainability of the intervention is likely also to be under threat as the resource base diminishes without replenishment.

The gaps in the empirical studies are:
a. There is inadequate recent empirical studies and evidence on the state of services in informal settlements, and the contributions made by the civil society in general. This inadequacy makes it hard to measure effectiveness of interventions.

b. There is also a wide gap in studies relating to modern technology. Studies on modern technology and applicability in such situations requires more exploration.

c. Much of the literature talks about public health, safety and sanitation without considering the dynamics of various groups in the informal settlements. This may lead to interventions that are not tailor made, or leave a gap in terms of understanding context and heterogeneity.

d. Besides urbanization and population growth other problems that lead to formation and expansion on informal settlements have not been well explored. For example governance and the issues that come along with it like outdated institutional structures, government policies, inappropriate legal systems, incompetent national and local governance and short sighted urban development policies.

e. Knowledge gap has been correlated with lack of relevant theories and concepts developed from empirical analysis to explain the evolution, growth and spatial characteristics of slums.

Considering these research gaps, the present study will investigate rationally interactions, connections and links in providing services to informal settlements. Recommendations from empirical studies will help in identifying gaps, and hence put in efforts to address the same.

2.2 Chapter Summary

Urbanization is an important social and economic phenomenon which is taking place rapidly all around the world. Urbanization has led to informal settlements worldwide, and they are estimated to accommodate almost one billion people. Informal settlements provide shelter to those who cannot access adequate shelter. In Africa, millions of poor urban dwellers reside in informal settlements. The chapter reviewed literature on health service delivery, education service delivery and, water and sanitation service delivery. The chapter also covered literature on the emergence and growth of informal settlements and their implications. Also covered was the
growth of informal settlements in Kenya. The growth of informal settlements was one of the reasons for the emergence of service oriented NGOs which are programme oriented and provide services such as health and education. This was covered under the types and roles of NGOs was reviewed the emergence of NGOs and the reasons for their emergence. Finally the chapter covered gaps and criticisms in the studies.
CHAPTER THREE

RESEARCH DESIGN AND METHODOLOGY

3.1 Research Design

This section focuses on the research design which provides the basis for the thesis. A descriptive research design was used. This was mixture of quantitative and qualitative research paradigms. In terms of quantitative research, a survey was undertaken based on a questionnaire and a selected sample of Obunga residents. Mouton and Marais (1990) indicate that quantitative method is the approach that is formalized and controlled, with an exactly defined range and relatively close to the discipline of the physical sciences. Quantitative methods are approaches that deal with data that is quantifiable and principally numerical.

The reason for employing a quantitative design is intended to select samples that represent the population of the area of the study in order to generalize the findings. The rationale of using a quantitative research method is also premised upon the work of Ader, Mellenberg & Hand (2008) who argue that quantitative research methods are suitable when undertaking the study that is targeting a particular community. The targeted the Obunga Informal Settlement. Ader, Mellenberg & Hand (2008) further indicate that quantitative research methods provide the following advantages: the cost is reasonably low and data collection is faster when sampling is used instead of surveying the entire population. Quantitative research design therefore improves the efficiency of random effects modeling and allows realistically problems to be analyzed. De Vos (1998) argues that in quantitative research predictions are made and tested. The aim of quantitative research is to formulate explanatory theories that are predictive and testable. Quantitative research provides an objective basis for evaluating claims of relationships.

Qualitatively, the research entailed in-depth interviews. Mouton and Marais (1990) state that qualitative methods are those approaches in which the procedures are not as strictly formalized, while the scope is more likely to be undefined, and a philosophical mode of operation is usually adopted. Qualitative research produces descriptive, explanatory and analytical data, such as spoken or written words. Neuman (2000) posits that the qualitative
research also helps to answer questions about the complex nature of a phenomenon, with the intention to describe and understand such a phenomenon from the respondents’ perspective.

3.2 Study and Target Population

The research was conducted in the Obunga informal settlement, in Kisumu County. The study targeted 40 women; 40 youth; 5 community leaders; and 10 NGOs and CBOs staff. International NGO's known to have partnered with local NGOs and CBOs in Obunga slums include Christian Children Fund (CCF), Africa Now and World Vision (WV); the local NGOs include Sustainable Aid in Africa, Undugu Society, Kisumu Core Association (KCA), Umande Trust, K-Met and Support for Tropical Initiatives in Poverty Alleviation (STIPA). Other NGOs and CBOs currently in operation in Obunga were familiarized with during the field study. They did not wish their names to be mentioned in the study, hence this was observed. The sample size breakdown of the target population is further elaborated in the next section.

3.3 Sample and Sampling Techniques

Sampling is a procedure employed to extract samples for a study, whilst ‘a sample’ is defined as, part of the survey population that is to be studied, (Sarantakos, 2005). Both probability and non-probability sampling were employed in the study. Seaberg (1988) writes that in probability sampling each person in a population has the same known probability of being selected. In addition, the selection of persons from a population is based on some form of random procedure. Probability sampling used for the study was systematic or interval sampling. Systematic sampling consists of selection of every Kth case from a complete list or the file of the population, starting with a random case from the first K cases in the list.

On the other hand, non-probability sampling is based on selection by non-random means. Hence purposive and snowball sampling were used. In purposive sampling the researcher relies on own expertise or expert judgment to select units that are representative or typical of the population. Snowball sampling is where the researcher contacts a small number of members of the target population and gets them to introduce him/her to others.
The formula below was used to calculate the sample size

\[ n = \frac{\frac{z^2 \times p \times (1 - p)}{e^2}}{1 + \frac{z^2 \times p \times (1 - p)}{e^2N}} \]

Where:
- \(z\) = Confidence level (as a decimal)
- \(p\) = Level of significance (as a decimal)
- \(e\) = Margin of error (as a decimal)
- \(N\) = Population size
- \(n\) = Sample size

The researcher used a 95% confidence level, the Z score for this is 1.96. The level of significance, \(p\) was set at 0.5; and the margin of error was set at 10% (0.1). The population of Obunga is approximately 8,600. The researcher rounded the figure to a population size of 9,000 to control errors.

\[ n = \frac{1.96^2 \times 0.5 \times (1 - 0.5)}{0.1^2} 
\]

\[ n = \frac{1.96^2 \times 0.5 \times (1 - 0.5)}{1 + \frac{1.96^2 \times 0.5 \times (1 - 0.5)}{1.96^2 \times 9,000}} \]

\[ n = \frac{96.04}{1 + 0.0106} \]

\[ n = 95.025 \]

\[ n \approx 95 \]
The respondents considered for the study were selected as follow:

a. 40 community youth: This number was selected because the youth are active players in the development process of any community. Systematic sampling was used to select the respondents. The sample interval was obtained by dividing the sample size by the number of youth respondents, that is 100/40, where an interval of approximately 5 was obtained. The researcher selected the first respondent randomly and the other respondents were determined automatically; that is every fifth person was given a questionnaire; until the required number of respondents was attained.

b. 40 women: They are selected due to their perceived crucial role in sourcing of daily household requirements. The sample interval was obtained by dividing the size of this sample by the number of respondents, that is 100/40, where we obtained an interval of approximately 5. The researcher selected the first respondent randomly and the other respondents were determined automatically; that is every fifth person was given a questionnaire; until the required number of respondents was attained.

c. 5 community leaders: This group was selected due to the valuable information they are perceived to have regarding various issues in their areas. Purposive sampling was used to select one community leader, who then introduced the researcher to other community leaders; hence snowball sampling technique.

d. 10 respondents from the community CBOs and NGOs: They as the partners of development and can give information on cooperation of the settlers and the challenges they face in the process, which can be a guide in determining the effectiveness of the services they provide. The researcher used purposive sampling to select respondents from the community's NBOs and CBOs. This was based on the number of years the organization had served or operated in the informal settlement and their line of services. Prior research was undertaken to determine the longest serving organizations in the informal settlement and the line of services undertaken by the same.
3.4 Methods and Instruments of Data Collection

3.4.1 Questionnaires

Quantitative (survey) research often uses questionnaires as a data collection method and measuring instrument. Hall & Hall (1996) define a questionnaire as a set of questions for respondents to complete themselves. In this study, the questionnaires entailed both open and close ended questions.

The researcher visited the informal settlement's households and distributed questionnaires to participants of the study and observed the process of questionnaire completion. The researcher was present to provide guidance to the respondents who needed clarification of some of the questions. Gray (2004) advises that the researcher’s role in questionnaire surveys is to give guidance to some of individual participants in the completion of the questionnaires. The researcher limited her contribution to the completion of questionnaires to the absolute minimum. In some cases, questionnaires were left with the respondents to complete and the researcher collected the completed questionnaires the following day in agreement with respondents. Where respondents experienced some difficulties with questionnaires, the researcher clarified that when coming back to collect the completed questionnaires.

Secondary data sources were also used to provide additional information.

3.4.2 Interviews

The in-depth interviews was conducted face-to-face and guided by an interview schedule. In the qualitative paradigm, Easterby-Smith et al. (2002) assert that interviews are regarded as the most fundamental of all qualitative methods which provide an opportunity for the researcher to; probe deeply to uncover new clues; open up new dimensions of a problem and to secure vivid, accurate inclusive accounts that are based on personal experience.

The interviews were structured, where the number of questions and wording of questions were identical for all the respondents. In a structured interview the sequence in which the questions are asked are the same in every interview to make sure that any variations between
responses can be attributed to the actual differences between the respondents and not to the variations in the interview, (Nachmias & Nachmias, 2008). The direct interview was conducted with both staff members and top officials of the NGOs and CBOs.

3.5 Data collection Procedures

This involved obtaining permission from the necessary authorities to carry out the study. First a permit to carry out the research was obtained from the National Commission for Science and Technology (NACOSTI). The researcher then reported to the County Commissioner and the County Director of Education in Kisumu County before embarking on the project. The researcher then met the Obunga area Assistant Chief who introduced her to one of the community leaders. This community leader helped in familiarization with the settlement by taking the researcher round and informing the settlers of the visit's purpose. Prior to all these, the researcher booked appointments with them.

3.6 Data Analysis Procedures

De Vos and Fouche (1998) mention that data analysis is an important phase in interpreting research findings. Data analysis means the categorizing, ordering, manipulating and summarizing of data to obtain answers to research questions. Questionnaires were processed carefully in order to take notes on comments or suggestions made by respondents and interviewees. The data processing consisted of editing, coding of open-ended questions and tabulation of quantitative data. This was then organized for uniformity with the help of Statistical Package for Social Sciences (SPSS). Creswell (1998) emphasizes the usefulness of computer programs in the data analysis process. The results were summarized and presented in frequency tables and graphs. Qualitative data was analyzed using narrative analysis. Narrative analysis is a form of qualitative analysis in which the analyst focuses on how respondents impose order on the flow of experience in their lives and thus make sense of events and actions in which they have participated. Narrative methods use interviews and sometimes documents or observations to "follow participants down their trails" (Riessman 2008). This data elements were entered as words and phrases instead of numbers. Some of this data was presented in graphs.
3.7 Reliability and Validity

Burns (2000) states that both validity and reliability are crucial in the study since they have a direct impact on its credibility and can be used to determine whether the study is valuable or not. According to Brynard and Hanekom (1997) validity refers to whether or not something actually measures what it claims to measure. Hall & Hall (1996) define validity as the extent to which a test measures what the researcher intends to measure. In this study, the researcher used raw data such as field notes and documents to synthesize themes, definitions and the interpretation of the study outcome. Validity was ensured using content validity which involves expert advice. In the study the researcher ensured this by taking into account supervisors guidance. In addition, a pre-testing of questionnaire and interview schedule was carried out to see whether they would yield the right responses from randomly selected individuals and groups in a pilot survey.

Reliability is closely related to validity. Reliability is the extent to which research yields the same results again when similar approaches are used at the same time. This means that if data is reproduced when using the same measurement or instrument with similar circumstances, then the data collection can be deemed reliable. According to Merriam (2002) internal reliability looks at how congruent with reality one’s findings are, that is in a comparison between the concepts and reality. In this study, the understanding of reality was the researcher’s interpretation of the phenomena of reality. Therefore, it is important to understand the perspectives of those involved, uncover the complexity of human behavior in context, and present a holistic interpretation of what is happening. Reliability was tested using the split-half method. The method involves dividing the scale into two parts, to determine its split-half reliability by comparing the two halves (internal consistency).

3.8 Ethical Considerations of the study

De Vos (1998) defines ethics as a set of moral principles which are suggested by individual or a group, that are widely accepted and which offers rules and behavioral expectations about the most correct conduct towards experimental subjects and respondents, employers, sponsors and other researchers and students. Ethical concerns are necessary in social
science research. Before starting the field study, the researcher sought permission to conduct the study from National Commission for Science Technology and Innovation. Prior to data collection, the researcher approached the Obunga informal settlement’s leadership for permission to conduct a survey. A consent was obtained from all respondents who participated in the study. The study followed the rules of ethical consideration and adhered to the rules of informed consent, voluntary participation and privacy, the values of anonymity and confidentiality.

According to Burns (2000) all participants have the right to be informed about the nature and consequences of experiments in which they are involved. This means that research subjects must be fully informed about the research in which the interview is going to be used. The researcher informed all the participants about the purpose of the study. Through the help of community leaders, participants were informed and invited to take part in the study.

According to Bless & Higson-Smith (2000) researchers often invade personal privacy. Participants have a right to withhold any information they wish to. Hence it is important that people agree voluntarily to participate in a particular study or rather refuse to divulge certain information. Participants were informed that their participation in the study is voluntary. Participant’s right to privacy was observed throughout the study during the distribution of questionnaires. Information obtained from participants was treated as confidential.

Bless & Higson-Smith (2000) argue that many people are willing and prepared to divulge information of a private nature provided that their names are not mentioned. The participants were assured that the researcher will be the only person who will be aware of their identities. Dane (1990) advises that names of the participants in the study should be omitted to ensure anonymity. Confidentiality issues were taken into account throughout the data collection process. Information obtained from participants was treated confidentially and respondents’ identities were protected in this study. The issues of confidentiality was clarified in the beginning to enable the participants to provide honest and complete information willingly.
CHAPTER FOUR

DATA PRESENTATION AND INTERPRETATION OF FINDINGS

4.1 Presentation of Research Findings

This chapter looked at presentation and interpretation of the findings. Quantitative data was obtained from questionnaires. The questionnaires were filled by residents from the informal settlement. The findings from quantitative data were then summarized in graphs and tables. The chapter then looked at findings from qualitative data. This was obtained from the NGO and CBO staff workers, operating in the settlement. This data was analyzed using content analysis.

4.1.1 Quantitative data analysis

Quantitative methods are approaches that deal with data that is quantifiable and principally numerical. In the study, quantitative data was collected using questionnaires. A survey was undertaken based on a questionnaire and a selected sample of Obunga residents. The selected sample for the dwellers of Obunga was 85. There was a 100% response rate as all the questionnaires handed out were returned and properly filled. The sample was divided into three groups, that is, 5 community leaders, 40 youth and 40 women. The table below shows the distinct sample groups.

Table 4.1 Group or respondent

<table>
<thead>
<tr>
<th>Group of respondent</th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Community leaders</td>
<td>5</td>
<td>5.9</td>
<td>5.9</td>
</tr>
<tr>
<td>Youth</td>
<td>40</td>
<td>47.1</td>
<td>47.1</td>
</tr>
<tr>
<td>Women</td>
<td>40</td>
<td>47.1</td>
<td>47.1</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

There was a 5.9% response rate from the community leaders. 47.1% from the youth and 47.1% from the women; making a total of 100% response rate.
4.1.1.1 Demography and household characteristics of respondents

This included the respondents' area of residence, gender, age, marital status, education level, number of people in the household, period of stay in the settlement, reason of staying in the settlement, number of people employed in the household, and employment status.

Table 4.2 Area of residence

<table>
<thead>
<tr>
<th>Area of residence</th>
<th>Frequency</th>
<th>Percent</th>
<th>Valid Percent</th>
<th>Std. Deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Central</td>
<td>25</td>
<td>29.4</td>
<td>29.4</td>
<td>1.132</td>
</tr>
<tr>
<td>Kamakowa</td>
<td>23</td>
<td>27.1</td>
<td>27.1</td>
<td></td>
</tr>
<tr>
<td>Sega Sega</td>
<td>18</td>
<td>21.2</td>
<td>21.2</td>
<td></td>
</tr>
<tr>
<td>Kasarani</td>
<td>19</td>
<td>22.4</td>
<td>22.4</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
<td>100.0</td>
<td></td>
</tr>
</tbody>
</table>

Source: Author, 2016.

From the table above 29.4% of the respondents were from Central, 27.1% from Kamakowa, 21.2% from Sega Sega and 22.4% from Kasarani. All the areas of study were well represented due to the small standard deviation of 1.132. It was important to adequately cover all the areas of the settlement in order to uncover any variations in the responses. The gender of the respondents is tabulated below.

Table 4.3 Gender of respondent

<table>
<thead>
<tr>
<th>Gender of respondent</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male</td>
<td>45</td>
<td>52.9</td>
</tr>
<tr>
<td>Female</td>
<td>40</td>
<td>47.1</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.
The data in the table above shows that 52.9% of the respondents were male and 47.1% were female. The variation in the percentages is due to the fact that the community leaders and youth were all male respondents. This means that both genders were well represented. Majority (62.4) of the respondents were in the 18-30 age bracket. The age of the respondents is show in the table below.

**Table 4.4 Age of respondent**

<table>
<thead>
<tr>
<th>Age of respondent</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-30</td>
<td>53</td>
<td>62.4</td>
</tr>
<tr>
<td>31-40</td>
<td>18</td>
<td>21.2</td>
</tr>
<tr>
<td>41-50</td>
<td>11</td>
<td>12.9</td>
</tr>
<tr>
<td>50 and over</td>
<td>3</td>
<td>3.5</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

**Figure 4.1 Level of education**
From the graph above, we see that the highest level of education of majority of the respondents is secondary school (45.9%). Only 3.5% have attained a bachelors degree and 1.2% have reached postgraduate studies. The percentage of respondents with no education at all is a relative 5.9%, and those who have attained diploma studies are 24.7%. The level of education of the respondents was important for the study as it could determine the understanding of the questions asked and awareness of the services in the area. This was also an important factor as it was one of the study's objectives; hence the assumption that the level of education in the settlement had been influenced by the CBOs and NGOs operating in the settlement.

The analysis of the number of people living in a household and the number of people employed in a household are important factors. These factors can determine the standards of living.

Table 4.5 Number of people living in the household

<table>
<thead>
<tr>
<th>No. in household</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>15</td>
<td>17.6</td>
</tr>
<tr>
<td>10</td>
<td>1</td>
<td>1.2</td>
</tr>
<tr>
<td>2</td>
<td>20</td>
<td>23.5</td>
</tr>
<tr>
<td>3</td>
<td>13</td>
<td>15.3</td>
</tr>
<tr>
<td>4</td>
<td>10</td>
<td>11.8</td>
</tr>
<tr>
<td>5</td>
<td>9</td>
<td>10.6</td>
</tr>
<tr>
<td>6</td>
<td>9</td>
<td>10.6</td>
</tr>
<tr>
<td>7</td>
<td>3</td>
<td>3.5</td>
</tr>
<tr>
<td>8</td>
<td>5</td>
<td>5.9</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

From the above data we see that the majority of the respondents (23.5%) live 2 people maximum in a household. Only 1.2% live a maximum of 10 people in a household. The low numbers of people living in a household could either be due to the income of the household or size of the house. The number of people employed in the household is represented below.
Table 4.6 Number of employed persons in a household

<table>
<thead>
<tr>
<th>No. employed</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>4</td>
<td>4.7</td>
</tr>
<tr>
<td>1</td>
<td>57</td>
<td>67.1</td>
</tr>
<tr>
<td>2</td>
<td>15</td>
<td>17.6</td>
</tr>
<tr>
<td>3</td>
<td>6</td>
<td>7.1</td>
</tr>
<tr>
<td>4</td>
<td>1</td>
<td>1.2</td>
</tr>
<tr>
<td>5</td>
<td>1</td>
<td>1.2</td>
</tr>
<tr>
<td>6</td>
<td>1</td>
<td>1.2</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

Out of the people living in a household, 67.1% of the respondents say only one person in the household is either employed or running a business. This could probably be the reason why there are few numbers of people living in a household, because just one employed person cannot support too many dependants.

The period of stay in the settlement is an important factor. Respondents who have been living in the settlement for a period of more than one year could be aware of the CBOs and NGOs operating in the settlement and could also be important in determining the effectiveness and sustainability of the services. The table below shows the period of stay of the respondents in the settlement.
Table 4.7 Period of stay in the settlement

<table>
<thead>
<tr>
<th>How long have you been living here?</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Less than 6 months</td>
<td>5</td>
<td>5.9</td>
</tr>
<tr>
<td>6 months</td>
<td>1</td>
<td>1.2</td>
</tr>
<tr>
<td>1 year</td>
<td>5</td>
<td>5.9</td>
</tr>
<tr>
<td>More than 1 year</td>
<td>74</td>
<td>87.1</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

From the table above we see that 87.1% of the respondents have been living in the settlement for more than one year and 5.9% for a less than six months. The period of stay in the settlement could be due to certain factors like affordable accommodation or proximity to work. The table below shows the reasons the respondents are living in the settlement.

Table 4.8 Purpose of stay in the settlement

<table>
<thead>
<tr>
<th>What is your reason for staying in this settlement?</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Affordable rental</td>
<td>60</td>
<td>70.6</td>
</tr>
<tr>
<td>Only accommodation available</td>
<td>1</td>
<td>1.2</td>
</tr>
<tr>
<td>Free accommodation</td>
<td>10</td>
<td>11.8</td>
</tr>
<tr>
<td>Close to Work</td>
<td>6</td>
<td>7.1</td>
</tr>
<tr>
<td>Birth/Family home</td>
<td>7</td>
<td>8.2</td>
</tr>
<tr>
<td>availability of blue color jobs</td>
<td>1</td>
<td>1.2</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

The data above shows that majority of the respondents (70.6%) live in the settlement due to affordable housing. Another 11.8% say they live there due to free accommodation, this means that they are living with someone else who is paying the bills. The income and employment of the respondents could be a determining factor in reasons why the respondents live in the settlement. The 70.6% of the respondents who say they live in the settlement due to affordable
housing could be living there due to their income or employment status. The table below shows the employment status of the respondents.

### 4.9 Employment status

<table>
<thead>
<tr>
<th>Employment status</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part-time</td>
<td>29</td>
<td>34.1</td>
</tr>
<tr>
<td>Full-time</td>
<td>19</td>
<td>22.4</td>
</tr>
<tr>
<td>Unemployed</td>
<td>12</td>
<td>14.1</td>
</tr>
<tr>
<td>Run business</td>
<td>25</td>
<td>29.4</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>85</strong></td>
<td><strong>100.0</strong></td>
</tr>
</tbody>
</table>

Source: Author, 2016.

The data above shows that majority (34.1%) of the respondents are employed on part-time basis. Those employed on full-time basis are 22.4%, those unemployed are 14.1%, and 29.4% of the respondents run businesses. Their incomes is presented in the table below.

### Table 4.10 Income

<table>
<thead>
<tr>
<th>If employed or run business, what is your income?</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 Income</td>
<td>11</td>
<td>12.9</td>
</tr>
<tr>
<td>Below Ksh 500</td>
<td>9</td>
<td>10.6</td>
</tr>
<tr>
<td>Ksh 501-Ksh 1000</td>
<td>8</td>
<td>9.4</td>
</tr>
<tr>
<td>Ksh 1001-Ksh 2000</td>
<td>3</td>
<td>3.5</td>
</tr>
<tr>
<td>Ksh 2001-Ksh 3000</td>
<td>11</td>
<td>12.9</td>
</tr>
<tr>
<td>Ksh 3001-Ksh 4000</td>
<td>6</td>
<td>7.1</td>
</tr>
<tr>
<td>Ksh 4001-Ksh 5000</td>
<td>13</td>
<td>15.3</td>
</tr>
<tr>
<td>Above Ksh 5000</td>
<td>24</td>
<td>28.2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>85</strong></td>
<td><strong>100.0</strong></td>
</tr>
</tbody>
</table>

Source: Author, 2016.
From the data above, we see that majority (28.2%) of the respondents earn above Ksh. 5,000. The next large percentage of 15.3 is represented by the Ksh. 4,001-Ksh. 5,000 income range. Those who have no income are 12.9% of the respondents.

### 4.1.1.2 Services and facilities in the settlement

This subsections includes the services and facilities available in the settlement; the services and facilities offered by NGOs and CBOs; awareness of provision of the services; and respondents' level of satisfaction with the services provided. The general services and facilities available in the informal settlement are shown in the table below.

**Table 4.11 Facilities and services in the settlement**

<table>
<thead>
<tr>
<th>Facilities and Services in the settlements</th>
<th>Responses</th>
<th>Percent of Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>Services and facilities available in the area</td>
<td>N</td>
<td>Percent</td>
</tr>
<tr>
<td>Schools</td>
<td>76</td>
<td>22.0%</td>
</tr>
<tr>
<td>Piped Water</td>
<td>63</td>
<td>18.2%</td>
</tr>
<tr>
<td>Meeting places</td>
<td>56</td>
<td>16.2%</td>
</tr>
<tr>
<td>Sewer and sanitation</td>
<td>34</td>
<td>9.8%</td>
</tr>
<tr>
<td>Health clinics</td>
<td>54</td>
<td>15.6%</td>
</tr>
<tr>
<td>Electricity</td>
<td>63</td>
<td>18.2%</td>
</tr>
<tr>
<td>Total</td>
<td>346</td>
<td>100.0%</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

The number of responses N is higher than the number of respondents because this was a multiple response question, meaning the respondents were allowed to tick more than one option; hence also a high number in the percent of cases. Percent of cases represents individual ticks/responses of individual services and facilities. Majority of the respondents (22%) ticked schools, 18.2% of the respondents ticked electricity and piped water, and 16.2% ticked meeting places. Few of the respondents (9.8%) ticked sewer and sanitation. This shows the area has few sewer and sanitation services or facilities.
The respondents were then asked if they were aware of any NGO and CBOs services in the area. Their responses are shown in the table below.

**Figure 4.2 Familiarity with NGO/CBO services**

 ![Familiarity with NGO/CBO services](image)

Source: Author, 2016.

From the data above, we see that majority of the respondents (83.5%) were aware of the services and facilities offered by NGOs and CBOs in their area. Their familiarity with the organizations' services was crucial for determining the effectiveness of the services. The other 16.5% were not aware of the services. The percentage of the respondents aware of the services was big enough to be representative of the community's opinions. The respondents were then asked to mention the services the organizations offered in their area. The respondents mentioned the services tabulated below.
Table 4.12 Services offered by NGOs and CBOs

<table>
<thead>
<tr>
<th>Services offered by NGO/CBO services</th>
<th>Responses</th>
<th>Percent</th>
<th>Percent of Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Awareness of NGO/CBO services</td>
<td>107</td>
<td>100.0%</td>
<td>187.7%</td>
</tr>
<tr>
<td>Health care services</td>
<td>40</td>
<td>37.4%</td>
<td>70.2%</td>
</tr>
<tr>
<td>Formal and informal education</td>
<td>26</td>
<td>24.3%</td>
<td>45.6%</td>
</tr>
<tr>
<td>Water and sanitation</td>
<td>13</td>
<td>12.1%</td>
<td>22.8%</td>
</tr>
<tr>
<td>Recreation facilities</td>
<td>10</td>
<td>9.3%</td>
<td>17.5%</td>
</tr>
<tr>
<td>Rescue services</td>
<td>6</td>
<td>5.6%</td>
<td>10.5%</td>
</tr>
<tr>
<td>Vulnerable groups</td>
<td>12</td>
<td>11.2%</td>
<td>21.1%</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

This was a multiple response question as the respondents were given a chance to mention the service they were aware the NGOs and CBOs in their area offered. Majority of the respondents (37.4%) mentioned health care services; 24.3% mentioned education; 12.1% mentioned water and sanitation; 11.2% mentioned care of vulnerable groups; 9.3% mentioned recreation facilities; and 5.6% mentioned rescue services. These responses were generalized and given a common name (for example HIV/AIDS testing and TB testing were put in the category Health Care Services). The breakdown of individual and other services mentioned include:

i. Care of orphans
ii. Support for widows
iii. Cyber and free computer studies for the youth
iv. STI treatment and screening
v. HIV/AIDS testing and counseling
vi. TB testing and screening
vii. Community cleaning and waste removal
viii. Primary, secondary and higher learning education sponsorship
ix. Free stationery for the children
x. Playing ground for the children
xi. Free family planning services
xii. Civil education
xiii. Provision of sanitary towels for the ladies.
xiv. Community empowerment like human rights violations, women empowerment, and entrepreneurship programmes like agri0business education.

The above shows that the respondents were aware of the study's objectives which are Health services; Water and Sanitation services; and Education services in their area. The respondent were then asked to rate the effectiveness of the services mentioned above. The rating of the services is tabulated below.

Table 4.13 Satisfaction with NGO/CBO general services

<table>
<thead>
<tr>
<th>How well do you think the services you mentioned respond to challenges in your area?</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do not know</td>
<td>23</td>
<td>27.1</td>
</tr>
<tr>
<td>Very bad</td>
<td>6</td>
<td>7.1</td>
</tr>
<tr>
<td>Bad</td>
<td>2</td>
<td>2.4</td>
</tr>
<tr>
<td>Well</td>
<td>44</td>
<td>51.8</td>
</tr>
<tr>
<td>Very well</td>
<td>10</td>
<td>11.8</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

From the table above we see that majority of the respondents (51.8%) said that the services respond well to the challenges in their area; giving it a high score of 3 out of 4. Some of the respondents (27.1%) did not know how rate the services. This was the case because either they were not familiar with the services or they just did not know how to rate the services. A small percent of 7.1% rated the services as very bad; 2.4% rated the services bad, and 11.8% rated the services as very well. This was a general raring of the services offered by the CBOs and NGOs in the area.
4.1.1.3 Findings Based on study objectives

The respondents were asked if the NGOs and CBOs operating in the settlement contributed to health care services; water and sanitation; and education. These are the study's objectives. The individual service responses are tabulated below.

**Figure 4.3 Health care service contribution**

![Bar chart showing health care service contribution](image)

Source: Author, 2016.

From the data above we see that 77.6% of the respondents agree that the CBOs and NGOs in the area contribute to health care services. The other 16.5% are not aware and 5.9% do not agree. Majority of the respondents therefore do agree that the NGOs and CBOs in the area offer or support health care services.
From the data above, we see that 65.9% of the respondents agree that CBOs and NGOs in the area support or offer water and sanitation services. The other 23.5% do not know, and 10.6% do not agree to this. From the data it is evident that the CBOs and NGOs in the area do offer water and sanitation services.

Source: Author, 2016.
Figure 4.5 Education services contribution

From the data above, 80% of the respondents agree that NGOs and CBOs in the areas offer or support education services. The other 16.5% do not know and 3.5% do not agree. The data therefore shows that these organizations do offer or support education services in the area.

After demonstration of awareness of Health, Education and, Water and Sanitation services offered/supported by NGOs and CBOs, the respondents were to break down the responses and mention/tick the type of service line in each category. The table below shows the health/clinical services offered.

Source: Author, 2016.
### Table 4.14 Type of health care services

<table>
<thead>
<tr>
<th>Type of health services offered</th>
<th>Responses</th>
<th>Percent</th>
<th>Percent of Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vaccination</td>
<td>53</td>
<td>29.0%</td>
<td>80.3%</td>
</tr>
<tr>
<td>HIV/AIDS testing and counseling</td>
<td>65</td>
<td>35.5%</td>
<td>98.5%</td>
</tr>
<tr>
<td>Laboratory services</td>
<td>22</td>
<td>12.0%</td>
<td>33.3%</td>
</tr>
<tr>
<td>Prevention and treatment of malaria and other diseases</td>
<td>31</td>
<td>16.9%</td>
<td>47.0%</td>
</tr>
<tr>
<td>STI screening and treatment</td>
<td>12</td>
<td>6.6%</td>
<td>18.2%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>183</strong></td>
<td><strong>100.0%</strong></td>
<td><strong>277.3%</strong></td>
</tr>
</tbody>
</table>

Source: Author, 2016.

The table above represents a multiple response question, where the respondents ticked more than one option. HIV/AIDS testing and counseling was ticked the most by 35.5% of the respondents. This shows that most organizations offering health care services prioritize HIV/AIDS as a health concern. This could be due to the level of spread of the disease in the area, or just awareness creation for the disease. Vaccination of various diseases was ticked by 29% of the respondents. Prevention and treatment of malaria and other diseases was ticked by 16.9% of the respondents. Laboratory services was ticked by 12% of the respondents. The respondents were provided with an option to mention other health care services besides the ones the researcher asked in the questionnaire. Majority (6.6%) of the respondents mentioned STI screening and treatment, thus it was added to the services. One of the respondents mentioned male circumcision services.

The respondents were then asked to tick the type of education services offered, and further mention them. Their responses is shown in the table below.
Table 4.15 Education services

<table>
<thead>
<tr>
<th>What type of education is offered?</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Formal education</td>
<td>37</td>
<td>43.5</td>
</tr>
<tr>
<td>Informal education</td>
<td>31</td>
<td>36.5</td>
</tr>
<tr>
<td>Do not know</td>
<td>17</td>
<td>20.0</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

Formal education was ticked by 43.5% of the respondents; 36.5% ticked informal education; and 20% did not mention or tick the type of education offered, meaning they did not know. These respondents further mentioned the sub-types of education services. This is shown below.

Table 4.16 Type of education services

<table>
<thead>
<tr>
<th>Mention the education services or facilities offered</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do not know</td>
<td>38</td>
<td>44.7</td>
</tr>
<tr>
<td>School sponsorship</td>
<td>8</td>
<td>9.4</td>
</tr>
<tr>
<td>Sanitation courses</td>
<td>4</td>
<td>4.7</td>
</tr>
<tr>
<td>Free youth computer studies</td>
<td>14</td>
<td>16.5</td>
</tr>
<tr>
<td>General community education</td>
<td>11</td>
<td>12.9</td>
</tr>
<tr>
<td>Youth health awareness</td>
<td>10</td>
<td>11.8</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

The data above shows that 44.7% did not know of the type of education; this was the case because a bigger percent of these respondents did not mention the education type, the others just did not know. Free computer studies for the youth was mentioned by 16.5% of the respondents. This shows that engaging the youth in educational courses is a concern in the settlement. General community education was mentioned by 12.9% of the respondents. These respondents further mentioned provision of library services for the children and youth on specific days, civil
education, Agri-business education, schools built by NGOs, provision of stationery and uniforms for school going children, and HIV/AIDS courses. Youth health education was mentioned by 11.8% of the respondents. Youth health education included adult education on HIV/AIDS awareness. School sponsorship was mentioned by 9.4% of the respondents, who further explained that some of the NGOs and CBOs in the organization sponsor some of the dwellers' primary, secondary and higher learning studies. Sanitation courses was mentioned by 4.7% of the respondents. The sanitation courses involved being taught on the importance of environmental conservation and management, especially with regards to waste management.

The respondents were then asked to tick water and sanitation services offered. The table below shows the water and sanitation services that were ticked by the respondents. It was a multiple response question where the respondents ticked more than one option.

Table 4.17 Water and sanitation services

<table>
<thead>
<tr>
<th>Type of water and sanitation services</th>
<th>Responses</th>
<th>Percent of Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water booths</td>
<td>38</td>
<td>32.2% 66.7%</td>
</tr>
<tr>
<td>Waste removal</td>
<td>37</td>
<td>31.4% 64.9%</td>
</tr>
<tr>
<td>Toilet services</td>
<td>43</td>
<td>36.4% 75.4%</td>
</tr>
<tr>
<td>Total</td>
<td>118</td>
<td>100.0% 207.0%</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

The data above shows that 36.4% of the respondents ticked toilet services, 32.2% ticked water booths and 31.4% ticked waste removal. From the responses, we see that the organizations offer these basic sanitation needs.

The respondents were then asked to show their level of satisfaction with the provision of the services (health, education and, water and sanitation). Their level of satisfaction with the services is presented in the tables below.
Table 4.18 Level of satisfaction with health care services

<table>
<thead>
<tr>
<th>Level of satisfaction with Health services provided by NGOS/CBOS</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td>18</td>
<td>21.2</td>
</tr>
<tr>
<td>Very poor</td>
<td>1</td>
<td>1.2</td>
</tr>
<tr>
<td>Not satisfactory</td>
<td>17</td>
<td>20.0</td>
</tr>
<tr>
<td>Satisfactory</td>
<td>35</td>
<td>41.2</td>
</tr>
<tr>
<td>Very satisfactory</td>
<td>14</td>
<td>16.5</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

The data in the table above shows that a majority 41.2% of the respondents said the services offered are satisfactory (which is a score of a of 3 out of 4); 21.2% of the respondents did not rate their level of satisfaction; 20% rated not satisfactory; 16.5% rated very satisfactory (a score of 5 out of 5); and 1.2% rated this service very poor. From the ratings we can say that the organizations are indeed trying to match up to the settlements’ needs. This shows that they are doing a good job, but more still has to be done to make the job excellent.

The level of satisfaction with water and sanitation services is tabulated below.

Table 4.19 Level of satisfaction with water and sanitation services

<table>
<thead>
<tr>
<th>Level of satisfaction with water and sanitation provided by NGOS/CBOS</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td>21</td>
<td>24.7</td>
</tr>
<tr>
<td>Very poor</td>
<td>6</td>
<td>7.1</td>
</tr>
<tr>
<td>Not Satisfactory</td>
<td>27</td>
<td>31.8</td>
</tr>
<tr>
<td>Satisfactory</td>
<td>25</td>
<td>29.4</td>
</tr>
<tr>
<td>Very satisfactory</td>
<td>6</td>
<td>7.1</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>
From the data above we see majority (31.8%) of the respondents are not satisfied with the water and sanitation services and hence gave it a score of 2 out of 4. This rating show that the CBOs and NGOs in the area contribute very little to water and sanitation, or what they offer is not good enough hence making it a wanting service. The respondents who rated this service as satisfactory (3 out of 4) were 29.4%. The respondents who were not aware of the provision of this service did not rate it hence leaving the space blank; this group was 24.7%. The other respondents rated the service very satisfactory (7.1%) and very poor (7.1%). From the rating of this service we see that majority of the respondents are either not satisfied with the service or are not aware of such services being offered. This mean that provision of this service is not effective in responding to the needs of the settlement.

The level of satisfaction with education services is tabulated below.

Table 4.20 Level of satisfaction with education services

<table>
<thead>
<tr>
<th>Level of satisfaction with Education services provided by NGOS/CBOS</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>None</td>
<td>15</td>
<td>17.6</td>
</tr>
<tr>
<td>Very poor</td>
<td>5</td>
<td>5.9</td>
</tr>
<tr>
<td>Not Satisfactory</td>
<td>19</td>
<td>22.4</td>
</tr>
<tr>
<td>Satisfactory</td>
<td>33</td>
<td>38.8</td>
</tr>
<tr>
<td>Very satisfactory</td>
<td>13</td>
<td>15.3</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

The data in the table above shows majority 38.8% of the respondents rating the service as satisfactory (a score of 3 out of 4). These numbers show that the organizations have made a significant contribution to the service that the respondents actually appreciate. Another 22.4% of the respondents rated the service not satisfactory, meaning much more still ought to be done. The 17.6% did not rate the service; this was because they were not aware of the education services offered by the NGOs and CBOs. The respondents who rated the services as very satisfactory were 15.3%. The other 5.9% thought the services are very poor. From the ratings we can say that
the organizations have indeed made a significant impact on education services. This means that education services offered has been effective in impacting on the people's education needs.

After showing their level of satisfaction with the CBO and NGO services (education, health, and water and sanitation), the respondents were then asked if they felt delivery of the services improved; with the intervention of these organizations. The responses are shown in the table below.

**Table 4.21 Delivery of services rating**

<table>
<thead>
<tr>
<th>Do you feel delivery of services has improved with regards to services offered by NGOs/CBOs</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>40</td>
<td>47.1</td>
</tr>
<tr>
<td>No</td>
<td>31</td>
<td>36.5</td>
</tr>
<tr>
<td>Do not know</td>
<td>14</td>
<td>16.5</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>

Source: Author, 2016.

From the analysis above, majority (47.1%) of the respondents feel that service delivery in the area has improved with the CBO and NGO intervention. Majority of these respondents further supported their responses saying that since these organizations intervened, accessing services became easy, and some even free. With the environmental courses, most inhabitants now understand the importance of living in a healthy and clean environment. There is low contact to diseases due to the clean water and toilets they get. Some of the respondents said that health clinics have helped reduce the death of infants, provide free family planning and reduced stigma of HIV/AIDS due to the treatment and counseling they give. Some of the respondents said the level of education has improved a bit because they get free informal education and also formal education sponsorship in primary secondary and higher learning. Some mentioned that security concerns have gone down due to youth engagement in most of the programmes. Most of these respondents further explained that though the services have slightly improved, much still needed to be done to reduce poverty levels in the settlement.
According to 36.5% of the respondents, service delivery had not improved. Some of these respondent explained that this was the case because the services only reach specific hand (‘those with connections in certain organizations’). One of the respondents further explained that some of the leaders grab the services and keep them for themselves. Most of the respondents explained that water and sanitation was still very poor and much still needed to be done since it is a basic need. Lack of funds by the organizations and high population of the dwellers was another factor mentioned. These respondents said that some of the organizations lack sufficient funds and resources for them to offer better services, hence they just operate in a small scope that is affordable to them. Some respondents explained that these organizations lack crucial information of the areas they operate in hence rendering their services ineffective. Some also said they cannot say services have improved while there was still a big portion of the people who were not aware of these organizations and the services they offer.

According to 16.5% of the respondents, they did not know if service delivery had improved. Majority of these respondents explained that they were not aware of the work of the NGOs and CBOs in their area. Some explained that they were less concerned with the NGO and CBO issues. Some of them could just not tell if they felt services have improved or not.

4.1.1.4 Additional Opinion responses

Empowerment and capacity building are important elements for the study as they open up awareness of the NGO/CBO services, and also contributes to the education level of inhabitants. Education whether formal or informal is one of the study's objectives. This information on these elements is tabulated below.

Table 4.22 Empowerment and Capacity building

<table>
<thead>
<tr>
<th>Do NGOs/CBOs support empowerment and capacity building services/programmes</th>
<th>Frequency</th>
<th>Percent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>39</td>
<td>45.9</td>
</tr>
<tr>
<td>Not aware</td>
<td>46</td>
<td>54.1</td>
</tr>
<tr>
<td>Total</td>
<td>85</td>
<td>100.0</td>
</tr>
</tbody>
</table>
From the table above, 54.1% of the respondents were not aware of any empowerment and capacity building services offered. There was no respondent who answered 'no' to the question, therefore the remaining 45.9% of the respondents were aware of these services. These group of respondents mentioned the following empowerment and capacity building services:

i. Training on governance and leadership

ii. Sensitization programmes on the importance of community values and education making those who had dropped out of school to go back

iii. Health education teaching programmes on HIV/AIDS to the youth, and recruiting some of them as field officers

iv. Civil education

v. Life skills

vi. Youth empowerment

vii. Advocacy

viii. Empowerment on human rights

ix. Drugs sensitization

x. Entrepreneurship programmes, where interest free business start-up loans are given after training on small businesses

The respondents were asked to mention services of greater concern in their area. Their responses is summarized in the graph below.
From the graph above we see that majority (28.2%) of the respondents feel that health care services is a major concern in the settlement. They explained that so many contributions have been made in health care services but more still needed to be done. They said that health was a very important need in the community. Some of the respondents mentioned that there are few health clinics in their area. Some explained they still need more VCT programmes as most of the organizations advocate for them but still the service was not at the desired level. This shows that there is a high awareness creation for HIV/AIDS in the settlement.

The respondents who mentioned water and sanitation (16.5%) explained that waste management is the biggest concern as there is litter everywhere. Some said they need more piped water to reduce water borne diseases. Some of the respondents (10.6%) did not mention any service concerns.
The respondents gave their opinions on sustainability of the services. The responses are summarized in the graph below.

**Figure 4.7 Sustainability of services**

Source: Author, 2016.

Sustainability is an important factor in measuring effectiveness of the services in the long run. From the graph above, we see that 45.9% of the respondents think that NGO and CBO services offered are not sustainable. Some of the explanations they gave are:

i. There is lack of cooperation among the organizations and the community

ii. Lack of insufficient funds in the organizations make them not to last, or operate after donors pullout

iii. Lack of information on existence of the organizations and the services they offer

iv. Poor management in the organizations

v. The population in the settlement is increasing and the services offered are not matching up with the growth
vi. The services do not target all segment of the community like sex workers, lesbians and gays

vii. Most of the dwellers are still living below the poverty line

Respondents who said they did not know (27.1%) if the services were sustainable did not have any knowledge on the services. Some of them explained that they were less concerned with these organizations hence they did not know how they operate. This is a relatively big percent hence it is a sign much still has to be done and the people need to be sensitized on the operations of these organizations. Some respondents (15.3%) agreed that the services are sustainable. These respondents explained that they have been receiving some of the services they asked for in the settlement for a long time now; for example a majority said over the years they have been talking water and now they have it. Majority also explained youth engagement in HIV/AIDS training has positively impacted them by creating awareness. The respondents who said the services are sustainable to some extent (11.8%) explained that the living standards have slightly improved. These group said that service delivery has improved over the years but still would like to see more improvements in some areas.

The respondent were then asked to give suggestion that would help improve services in the area. Their suggestions include:

i. Services should be made available for everyone to access, not only those who have connections in the CBOs and NGOs; and all sections should be alerted when the services are brought and not only a small portion of the community.

ii. The community should be sensitized on the services before they are implemented; and afterwards involve the community in the projects

iii. Creating awareness on the existence of these organizations and the services they offer

iv. NGOs and CBOs to increase and roll out more water and sanitation projects, especially sewerage systems, and sensitize the community on the importance of waste management and environmental management

v. More NGOs and CBOs should come and explore other poorly serviced areas of the community
vi. Drug addiction and rehabilitation services are neglected to some extent and are very wanting. The youth should be sensitized on this with the help of peer educators

vii. More health clinic should be set up since it is a major concern in the community, especially mobile clinics

viii. Involve the youth in the programmes and come up with programs that curb youth unemployment; for example some of these organizations should try employ the locals

ix. After rolling out a programmes, these organizations should visit after at least three months to check on the progress

x. More funds should be provided to these organizations to sustain their activities, these organizations need government support and subsidy

xi. Improve inclusivity of all stakeholders

xii. More schools and educational facilities; and be made affordable

xiii. Better roads

xiv. Consider both genders when offering services

xv. These organizations should have knowledge of the dynamics of the community before setting up, for example they should know the population in their area of operation and needs of special groups.

4.1.2 Qualitative data analysis

Qualitative research produces descriptive, explanatory and analytical data, such as spoken or written words. In the study, this was analysis of data from interviews. Ten respondents from ten different NGOs and CBOs were interviewed. There was a 100% response rate as all the interviewees were present for the interviews. All the organizations had been operating in the informal settlement for at least more than two years. The number of years in the settlement was crucial for the study, as it represents their deeper understanding of the area in comparison to the newer organizations.

The organizations offered the following services: capacity building and empowerment; health education and health care services; counseling; engagement of vulnerable groups mainly
orphans, widows and the girl child; and table banking. The chart below shows the number of study organizations offering a particular service.

**Figure 4.8 Services offered by the organizations**

*The chart represents the services offered by the 10 NGOs and CBOs which were considered for the studies
*The frequency represents the number of organizations offering a particular service

Source: Author, 2016.

According to the interviewees, providing and rolling out the services in the informal settlement comes with many diverse challenges. Most of them mentioned resource constraints and limited funds as their main challenges. They either find it difficult to maintain operations when donors pull out, or others, especially the small NGOs and CBOs lacked any form of donor support. They say that this usually delays implementation of some of their plans/projects. The
attitudes and the perceptions of some of the dwellers was another major challenge for the organizations. They claim this to be an issue due to the literacy levels in the settlement. One interviewee mentioned that the cultures of some of the dwellers bars them from receiving free services because according to their culture nothing is free. Other always expect all services to be totally free. One of the interviewees mentioned that whenever they set up training workshops and seminars, the turnout is usually very low. Another interviewee noted that when they organize for community clean ups, they always receive a very small turnout, the dwellers hardly volunteer or cooperate. Another issues the organizations face is the issue of land. They claim that there is no readily available land for expansion of certain services like construction of pit latrines and open land for garbage disposal. One interviewee mentioned that digging of pit latrines in the settlements is a very big challenge as the water table in Obunga is high. One of the interviewees mentioned that a major challenge for their organization is hygiene, due to lack of a sewer line and indiscriminate disposal of waste. The interviewee said that their organizations work the orphans and claimed that the orphans always contact cholera and other diseases due to the hygiene levels in the settlement. The interviewee further said that access roads are very poor and in some instances none, making it very difficult for them to reach all the orphans and widows in all the areas of the settlement. Most of the interviewees said that these challenges affect their operations due to delays and wastage in efforts. Other claim the challenge of perception and attitude wastes time as they have to take time to convince the dwellers on the importance of the services they provide; this, the interviewee noted creates problem with the donors as the donors are concerned with results. They said perception change is very important as it is an overall factor in the dwellers' cooperation.

Besides the services the NGOs and CBOs offered, they said they also offer other services like recreation center and facilities; children's home; empowerment and capacity building programs; and various sanitation services like hygiene education, community cleans ups, pit latrine construction and waste management. The chart below shows other lines of service beside those offered by the organizations. It shows the service offered against the number of organizations offering that particular service.
From the chart above, we can observe that most of the organizations engaged in other health and sanitation services as an extra line of service. Their perception was that much needed to be done on education, health, water and sanitation. This was the reason why they extended their line of services to especially health and sanitation, because they are the major concerns in the settlement. The interviewees said that the organizations working in the informal settlement are trying their best but much still needed to be done. Out of the 10 interviewees from the different organizations, only 2 said that they do not offer any other services besides those their organization is mandated to offer. One further stated that, had they had sufficient funds and resources, they would extend their line of services to the entire community.

*The chart represents other services, besides the mandated line of service, that the organizations offer
*Items represent the number of organizations offering the indicated service line

Source: Author, 2016.
On empowerment and capacity building, most asserted the importance of the factors. One interviewee said that without empowerment, the people would not understand the importance of the services they offer. Another said empowerment is the key to self reliance of the people. Most interviewees said that they usually conduct seminars and workshops on empowerment and capacity building and encourage the masses to attend them. Another interviewee said that for the dwellers to take up loans, form self-help groups and engage in income generating activities, they require community capacity building. Another interviewee said they offer interest free loans to the widows and encourage them to take them and start businesses. They also empower the women on the girl child rights and the importance of education.

With regards to sustainability of the services they offer, all interviewees from the organizations said they always seek opinions from the dwellers in order to come up with services that best suit them. They also noted that they do follow ups of some of the small projects they set up to ensure sustainability. One of the interviewee said that sustainability may pose a challenge to them if their donors pull out. All the interviewees strongly admitted to the fact that their work has positively impacted on the lives of the dwellers. One said that through their feeding program, orphans are able to attend school and that their class performance improved. Another interviewee said through the community clean ups, waste management has greatly improved. Another interviewee said the services have impacted positively on the dwellers but still not to the expected level. One interviewee said that mostly those who are fully involved in their programs have been greatly impacted. One said they believe so since the attitudes of the dwellers is gradually changing.

4.2 Chapter Summary

The chapter looked at the presentation and interpretation of the research findings. The data was analyzed in the quantitative and qualitative paradigms. Quantitative analysis involved interpretation and presenting data from questionnaires. This was data obtained from the informal settlement's inhabitants. The presentation was divided into sections. The first section involved demography and household characteristics of the respondents. These characteristics included group of respondent; area of residence; gender; age; education level; number of people in a
household; period of stay in the settlement; reason for staying in the settlement; number of persons employed in the household; employment status; and income of respondents. These data was interpreted and presented in frequency tables and graphs.

The second section of quantitative data analysis was services and facilities in the settlement. In this section, respondents showed their knowledge of availability of CBO and NGO services in their areas, and expressed their level of satisfaction on the same. This also included findings based on the researcher's objectives. In the last section, data was presented on respondents' major concerns and suggestions in their areas. These data was interpreted and summarized in frequency tables and graphs.

The last section of the chapter looked at qualitative data analysis. This was data collected from interviews with the NGOs and CBOs staff members. This data was analyzed using narrative analysis.
CHAPTER FIVE
SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1 Summary

The aim of the study was to investigate the effectiveness of NGO and CBO service delivery in the informal settlements of Obunga in Kisumu City, Kenya. The informal settlement's respondents were divided into three sample groups, that is, community leaders (5.9%); youth (47.1%); and women (47.1%). The respondents were from four different areas of the settlement namely Central (24.9%), Kamakowa (27.1%), Sega Sega (21.2%) and Kasarani (22.4%). Majority (62.4%) of these respondents were in the 18-30 age bracket. Most (87.1%) of these respondents had been living in the settlement for a period of more than a year. This meant that they could give reliable information as they had been living in the settlement long enough. The main reason of living in the settlement, as said by 70.6% of the respondents was affordable rental. Majority of the respondents were employed on part-time basis (34.1%), with most earning above Ksh. 5,000 (28.2%). The highest level education of most (45.9%) of the respondents was secondary school.

5.1.1. Measures taken towards health care services

A majority 77.6% of the respondents agreed that the CBOs and NGOs in the area contribute to health care services. This service delivery was then rated satisfactory by majority (41.2%) of the respondents. This shows that the NGOs and CBOs have tried making a good effort on this service.

5.1.2. Efforts made towards water and sanitation services

A majority 65.9% agreed that the CBOs and NGOs contribute to water and sanitation services. Water and sanitation services was rated not satisfactory by majority (31.8%) of the respondents. This shows that this is an area that needs more attention and improvement.
5.1.3 Contributions made towards education services

Majority (80%) of the respondents agreed that the NGOs and CBOs in the area contributed to education services. Education services was rated satisfactory by majority (38.8%) of the respondents. This shows a significant effort has been made by the organizations in contributing to education services.

5.1.4 Evaluating NGOs/CBOs Service Delivery in general

After rating the health, education and water and sanitation services the respondents were asked to rate service delivery in general. They were asked if they felt service delivery had improved, majority (47.1%) of the respondents agreed that indeed service delivery had improved with the intervention of NGOs and CBOs. However most (45.9%) respondents felt that the services were not sustainable. This means that it is an area the organizations should improve on.

The findings from the interviews with the CBO and NGO staff members showed that all the organizations had been operating in the settlement for more than two years. This meant that they could provide reliable data for the study as they had been operating in the settlement long enough to understand the settlement's dynamics. The organizations offered mainly capacity building and empowerment; health education and health care services; counseling; engagement of vulnerable groups mainly orphans, widows and the girl child; and table banking. Besides these, they also offered other services like recreation centers and facilities; children's home; and various sanitation services like hygiene education, community cleans ups, pit latrine construction and waste management. Most of the organizations engaged in other health and sanitation services as an extra line of service. Their perception was that much needed to be done on education, health and, water and sanitation. The main challenges majority of these organizations faced is insufficient funds and the community's attitude and literacy levels. Respondents from these organizations said their services had greatly impacted the community but there was still room for improvement.
5.2 Conclusion

"There is a need for debate on what to do about slums or, to use the more polite term 'informal settlements' in Africa given the current rates of urbanization and population growth which are unprecedented in human history anywhere in this world. Slums always accompany the process of urbanization. It is generally estimated by many economists that more than half the world’s people now live in 'slum' area of cities and work in the informal economy" Nii-Okai (2012). From this quote we see the importance of finding a solution to the problem of informal settlements.

In 2000, more than 150 heads of state ratified the U.N. Millennium Declaration, acknowledging the growth of slums and their unique role in poverty eradication. They resolved, 'by 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers as proposed in the Cities without Slums initiative.' This was the first time that cities and urban poverty reduction were recognized by an international development goal as essential to eliminating poverty. Launched by Cities Alliance and championed by Nelson Mandela in 1999, the Cities without Slums initiative challenged cities to build on successful community-based upgrading programs and encouraged governments to address broader policy and institutional issues, thereby creating more inclusive, sustainable growth.

Unlike other MDG indicators and targets such as poverty, disease, illiteracy and unemployment that have tested monitoring systems and methods over the last three decades, the measurement and monitoring of the Target Number 11 has proven difficult, particularly the secure tenure indicator, and its legal implications. Sub-Saharan Africa has been unable to manage or reduce slum growth. Recent slum figures in Sub-Saharan Africa are alarming; Between 2001 and 2005, the number of slum dwellers has increased by 33 million. Contrary to this, remarkable efforts of governments in Northern Africa to upgrade slums have led to an annual 0.1 per cent decrease of the proportion of city dwellers living in slums during the period 1990-2001 (UN 2006). The share of slum dwellers in the region fell from 38 per cent to 28 per cent, with the absolute number of people living in slums decreasing by 1 million, to a total of 21 million (UN-Habitat 2006). Sub-Saharan Africa’s poor performance can partly be attributed to
the declining economies of some countries in the region, coupled with its disproportionate share of HIV prevalence and conflicts, both of which have exacerbated slum formation and worsened living conditions in cities (UN-Habitat 2005). The reduction in slum dweller prevalence in Northern Africa may be attributed to the implementation of policies aimed at reducing the number of slum dwellers within countries (UN-Habitat 2006). According to current trends, Target 11 may not be achieved at the global level. This would mainly be due to the fact that sub-Saharan Africa and South-Central Asia are lagging far behind. It is more and more clear that the failure of Target 11 will jeopardize the achievement of other MDGs (UN-Habitat 2005).

Attempts by government to scale up the provision of housing, water, sanitation and other services to low-income populations have remained woefully inadequate for addressing the magnitude of the problems of urban poverty and the spread of poorly serviced informal settlements in the country. This has created a space for the entry of other players in the development and delivery of housing and other public services in a timely and strategic response. A handful of NGOs and CBOs are carving out a niche in this space and are beginning to engage in the sector and not only in demonstrating the importance of service delivery in the lives of the urban poor, but also in facilitating their access to the same. Partnerships have emerged between NGOs, the state, the private sector, funding agencies and CBOs, and while they are still by no means at a commonplace, they provide some insight into the challenges, opportunities and dynamics of such collaborations.

It is therefore the inadequacy of governments to provide to low serviced informal settlements that led to the emergence of service NGOs in such areas. This has been emphasized by the Public Goods Theory which explains that NGOs came into existence as a result of government failure to provide public goods to the people. Service NGOs therefore exist to fill this gap. It is upon this premise that the study sought to analyze the effectiveness of these organization's service delivery in the informal settlement of Obunga. The study's findings show that service delivery improved with the intervention of NGOs and CBOs in the settlement. However, much still needs to be done to ensure sustainability of the services. In such a case according to the Actor Network Theory, there may be connections and interactions in the network that may be weak and need to be reinforced to ensure effectiveness. In the study actors
in the network are NGOs and CBOs and the flows in the network are the services they offer to
the informal settlement. The theory therefore suggested that for a network to be durable, there
should be continued alignment.

5.3 Recommendations

This study recommends that development stakeholders should put tackling informal
settlements challenges at the centre of all urban reform efforts and develop credible action plans
with ambitious targets, timelines and financing sources. There is need to develop informed
systematic interventions to improve the well-being of slum dwellers and, better yet to reduce the
continued formation and expansion of informal settlements at an unprecedented rate. The
government should offer relevant support to such organizations to help them better roll out their
services. NGOs and CBOs should put up fundraisers in order to cater for insufficient funds and
resources.

The researcher recommends the following areas for further research:

i. Willingness to pay for improved services and other demand-side issues. Will informal
   settlement dwellers be willing to pay for better services?

ii. Coordination failure and collective action problems preventing shared community
    solutions. For example, the health benefits from adopting improved latrines may be
    minimal so long as other people in the community continue open defecation practices.

iii. Institutional and Legal constraints to effective service delivery, for instance, the adoption
    of new technology regarding some services like water and sanitation sometimes involves
    large investments (be it time, money or other resources) that are irreversible. For
    example, connecting a house to the water or sewage network, or building a safe latrine,
    are investments requiring the consideration of the support structure, such as the local
    institutional and legal arrangements. Informal settlement dwellers often live in houses
    with insecure property rights where a legal title is lacking. A research can be conducted
    on legal implications on service provision in informal settlements as such settlements are
    considered 'illegal.'
iv. Political issues surrounding service delivery: for larger scale solutions to informal settlement challenges beyond the household or community level, local or central government participation is necessary. Issues surrounding the accountability of elected representatives to poor neighborhoods then become very relevant. And when the constituents are residents of urban slums, it leads to an unusually rich and interesting set of research questions. Despite the urban poor forming a sizable proportion of the population, this voting bloc has often been unable to leverage their political weight to gain improved public service delivery. There appears to be little disciplining of elected representative through the voting booths, and this has contributed to the low quality of public good provisions in urban areas.

v. A research can be conducted on the effect of community participation on sustainability of the services offered by Non State Providers like NGOs, Faith Based Organizations and so on.

vi. A research can be conducted on dynamics affecting Civil society organization's' effective service delivery in informal settlements. Various Civil society organizations can be looked at besides NGOs and CBOs.

vii. Further research can also be carried out on effectiveness of education service delivery, sanitation service delivery and education service delivery in isolation; and the impact the civil society has had on each service individually.
REFERENCES


UN-Habitat, (2013). *Operational Policy Framework: To address the shelter needs of urban poor particularly those living in informal settlements without formal tenure*. Kathmandu, Nepal.


World Economic and Social Survey, (2008). Overcoming Economic Insecurity. United Nations, Department of Economic and Social Affairs

APPENDIX 1

QUESTIONNAIRE

My name is Cameline Akoth Otieno, a student at The Catholic University of Eastern Africa pursuing a Master of Arts Degree in Development Studies. My on-going research study is entitled “Non-governmental and Community based organization's' Service Delivery Effectiveness in the Informal Settlement of Obunga, Kisumu City, Kenya”.

Your have been selected to participate in this study. All responses will remain anonymous and will be treated as strictly confidential. This questionnaire is for academic research purposes. This questionnaire is for the informal settlements’ residents and the community leaders.

Instructions

a) Please cross appropriately, for example ( X )

b) Please support your arguments to express your perception or opinion in the space provided

DEMOGRAPHICS AND HOUSEHOLD CHARACTERISTICS

Respondent Number: ( )

1) Area of residence: Central ( ) Kamakowa ( )

Sega Sega ( ) Kasarani ( )

2) Gender: Male ( ) Female ( )

3) Age

a) 18-30 ( )
b) 31-40 ( )
c) 41-50 ( )
d) 50+ ( )

4) Marital Status

a) Single ( )
b) Married (  )
c) Divorced (  )
d) Widow (  )
e) Widower (  )

5) Education level
   a) Primary level (  )
   b) Secondary level (  )
   c) Diploma level (  )
   d) Degree level (  )
   e) Postgraduate level (  )
   f) None (  )

6) Number of people living in this household (  )

7) How long have you been living here?
   a) Less than 6 months (  )
   b) 6 months (  )
   c) 1 year (  )
   d) More than 1 year (  )

8) What is your reason for staying in this informal settlement
   a) Affordable rental (  )
   b) Only accommodation available (  )
   c) Free accommodation (  )
   d) Close to work (  )
   e) Other (please specify) .................................................................

9) How many people in this household are employed (  )

10) Employment status
    a) Part-time (  )
    b) Full-time (  )
    c) Unemployed (  )
    d) Run business (  )

11) If employed or run business, what is your monthly income
SERVICES AND FACILITIES

12) Which of these services and facilities are available in your area? (Tick more than one)
   a) Schools ( )
   b) Piped water ( )
   c) Meeting places (Halls) ( )
   d) Sewer and sanitation ( )
   e) Health Clinics ( )
   f) Electricity ( )
   g) Others (Please specify) .................................................................

13) Are you familiar with or aware of the services provided by NGOs and CBOs in your area?
   Yes ( )
   No ( )

   If yes, which services are these?

   ..........................................................................................................................
   ..........................................................................................................................
   ..........................................................................................................................
   ..........................................................................................................................
   ..........................................................................................................................

14) How well (sufficiently) do you think the services you mentioned above are responding to
challenges in your area? (Please tick appropriately)
15) Do NGOs and CBOs in your area contribute to the following services (Please tick appropriately)

<table>
<thead>
<tr>
<th>Service</th>
<th>Yes</th>
<th>No</th>
<th>Do not know</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health Clinics</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Water and sanitation</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

If the services mentioned above are provided for by NGOs and CBOs in your area, please answer the questions below appropriately

16) What type of health or clinical services are offered? Tick more than one

a) Vaccination ( )
b) HIV/AIDS testing and counseling ( )
c) Laboratory services ( )
d) Prevention and treatment of malaria and other diseases ( )
e) Others, Please specify..........................................................

17) What type of education do the support or offer? Tick more than one

a) Formal education ( )
b) Informal education ( )

Mention and explain on the type of education services or facilities offered.................................
..........................................................................................................................................................
..........................................................................................................................................................
..........................................................................................................................................................
..........................................................................................................................................................
18) What sanitation needs to the NGOs and CBOs respond to? **Tick more than one**

- a) Water booths (  )
- b) Waste Removal (  )
- c) Toilet services (  )
- d) Others, Please specify...

19) Level of satisfaction with the following NGO and CBO services **(Please tick appropriately)**

<table>
<thead>
<tr>
<th>Service</th>
<th>Very Satisfactory</th>
<th>Satisfactory</th>
<th>Not Satisfactory</th>
<th>Very Poor</th>
</tr>
</thead>
<tbody>
<tr>
<td>Health clinics</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Water and sanitation</td>
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<td></td>
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</tr>
<tr>
<td>Education</td>
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</table>

**ADDITIONAL QUESTIONS**

20) Do you feel delivery of services has improved with regards to the services offered by NGOs and CBOs? **Yes** (  ) **No** (  )

Please support your response...

21) Do the NGOs and CBOs offer empowerment and capacity building services or programmes?

**Yes** (  ) **No** (  ) **Not aware** (  )

If yes, please elaborate...
22) In your opinion, what services in your area are of greater concern? (Please elaborate)

23) Do you think the services offered or provided are sustainable? (Please elaborate)

24) What suggestions would you give to help improve service delivery in your area
APPENDIX 2

INTERVIEW SCHEDULE

(For NGO and CBO workers/staff)

1) How long has this organization been in operation in this informal settlement?
2) What line of services do you offer?
3) Have you tried tackling other service concerns besides the ones you offer?
4) What are your attitudes and perceptions with respect to local services like clinics, water, garbage removal and education in this area?
5) What are some of the challenges and obstacles you face in offering the services?
6) How do these challenges and obstacles affect your operations, and how do you tackle them?
7) Do you support or reinforce certain income generating activities and self help group activities?
8) Do you run any capacity building and empowerment programmes?
9) Do you seek opinions from the slum dwellers on the services best suited for them?
10) Do you consider sustainability when providing services? How do you ensure this is observed?
11) Do you think the work you have done so far has impacted positively on the slum dwellers? If yes, do you have testimonials from the settlers?
APPENDIX 3

RESEARCH PERMIT

THIS IS TO CERTIFY THAT:
MISS. CAMELINE AKOTH OTIENO
of THE CATHOLIC UNIVERSITY OF
EASTERN AFRICA, 1611-50100
Kakamega, has been permitted to
conduct research in Kisumu County,

on the topic: NON GOVERNMENTAL AND
COMMUNITY BASED ORGANIZATION’S SERVICE DELIVERY EFFECTIVENESS IN THE INFORMAL SETTLEMENT OF OBUNGA, KISUMU CITY—KENYA.

for the period ending:
15th March, 2017

Applicant's Signature:

Director General:
National Commission for Science, Technology & Innovation

Permit No: NACOSTI/P/16/42639/10119
Date Of Issue: 15th March, 2016
Fee Received: Ksh 1000
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<td>Dec</td>
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<td>Proposal defense</td>
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</table>
## APPENDIX 5

### BUDGET

<table>
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<th>Item</th>
<th>Cost (Ksh)</th>
</tr>
</thead>
<tbody>
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<td>Stationery, printing and photocopying</td>
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</tr>
<tr>
<td>Travel and accommodation expenses</td>
<td>15,000</td>
</tr>
<tr>
<td>Research Permit</td>
<td>1,000</td>
</tr>
<tr>
<td>Overheads</td>
<td>3,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>25,000</strong></td>
</tr>
</tbody>
</table>
APPENDIX 6

MAP OF OBUNGA INFORMAL SETTLEMENT

Source: UN-Habitat, 2010.