

**ENABLEMENT APPROACHES TO THE UPGRADING
OF INFORMAL SETTLEMENTS:
A CASE STUDY OF MISISI COMPOUND
IN LUSAKA, ZAMBIA**

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DECLARATION

I, Charles Poleni Mukumba, declare that the master's degree research dissertation that I herewith submit for the master's degree *Master of Land and Property Development Management in Housing* at the University of the Free State is my independent work, and that I have not previously submitted it for a qualification at another institution of higher education.

.....
Charles Poleni Mukumba

28 February 2019

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DEDICATION

*To
Deborah-Judge Mukumba
and
Ruth-Boaz Mukumba
– my twin daughters –*

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LIST OF ACRONYMS AND ABBREVIATIONS

7NDP	Seventh National Development Plan
CBD	Central Business District
CSO	Central Statistical Office
GRZ	Government of Republic of Zambia
LCC	Lusaka City Council
MLG	Ministry of Local Government
MHID	Ministry of Housing and Infrastructure Development
MNDP	Ministry of National Development Planning
NGOs	Non-Governmental Organisations
NHA	National Housing Authority
OHCHR	Office of the United Nations High Commissioner for Human Rights
PPHPZ	People's Process on Housing and Poverty in Zambia
UN-Habitat	United Nations Human Settlements Programme
UNOG	United Nations Office at Geneva
URPA	Urban and Regional Planning Act

ABSTRACT

The main aim of the study was to improve the current process of informal settlement upgrading for Misisi Compound, an informal settlement in Lusaka, Zambia, through participatory and enabling approaches to the upgrading of informal settlements. Inadequate involvement of residents in planning, implementation and monitoring of urban settlement programmes has been widely cited as a major gap in the implementation of upgrading of informal settlement initiatives.

This study contains an evaluation of the existing literature on participative and enabling approaches to the upgrading of informal settlements, wherein theories on human settlements and the evolution of cities, urbanisation, and informal settlements are discussed. The study confirmed the importance of informal settlements, resulting from rapid urbanisation, as special locations for living and engaging in economic, political and cultural activities. Informal settlements occupy an increasingly important position in the landscape of possibilities facing poor populations around the world.

A case study methodology was adopted as an effective exploratory tool to understand the complexity of the subject and focus the study to answering how the current processes of upgrading informal settlements in Lusaka could be improved with reference to Misisi Compound. The case study methodology also provided the context within which the residents of the community live and where the actual upgrading of the informal settlement has to take place. It enabled the researcher to get a realistic picture of the study area and emphasised the interplay and relationship between the context and events.

An integration of qualitative and quantitative research was used to determine how residents in Misisi Compound experienced the upgrading processes and to learn how engaged they were in the upgrading of their area. Purposive and random sampling was used to select the sample size of participants who were regarded as custodians of specific information to solve the identified problem. The research found that enabling opportunities contribute to the successful implementation of informal settlement upgrading initiatives. The study highlighted the benefits of a people-centred approach, allowing for the inclusion of all relevant stakeholders.

To improve living conditions in informal settlements, residents prioritised security of tenure and municipal services as key to creating an enabling environment within which they could continue engaging in self-help housing or self-managed housing.

The research concluded that an enabling environment is key to achieving the successful upgrading of Misisi Compound.

Key terms: Informal settlements; Enabling approaches; Participatory approaches; Self-help housing; Upgrading of informal settlements; Upgrading processes; Human settlements; Urbanisation; Community; Inclusiveness

Chapter 1

INTRODUCTION TO THE RESEARCH

1.1 INTRODUCTION

In this study, participatory and enabling approaches to the upgrading of informal settlements is researched. The aim of this first chapter is to introduce the broad area of the research and develop the basis for the chapters to follow. It starts by presenting the broader side of the research context. The broad study then leads to the research problem with the objectives, justifications and the methodology presented. The scope of the study and the thesis structure is given towards the end of the chapter.

1.2 BACKGROUND AND CONTEXTUALISATION OF THE STUDY

The growth of informal housing is a normal phenomenon accompanying rapid urbanisation where formal housing cannot meet the high demand for housing by the urban poor. Informal settlements occur mostly when land planning and housing policies fail to address the demand for formal settlements. The UN-Habitat (2015:2) defined informal settlements as residential areas where inhabitants have no security of tenure with regard to the land or dwellings they inhabit, with modalities ranging from squatting to informal rental housing. The neighbourhoods usually lack, or are cut off from, basic services, and city infrastructure and housing may not comply with current planning and building regulations and are often situated in geographically and environmentally hazardous areas.

According to Srinivas (2015), “an informal settlement is a residential area which has developed without legal claims to the land and/or permission from the concerned authorities to build; as a result of their illegal or semi-legal status, infrastructure and services are usually inadequate”. These informal settlements are characterised by low-cost houses with poor living conditions. Residents living in these informal settlements are usually marginalised because of their living conditions which lack the basic services which can help them to improve their well-being or take advantage of the available opportunities.

Residents in these informal settlements have been deprived of the most basic rights and entitlements, lacking security of tenure and access to basic infrastructure such as roads, sewerage, water, electricity and social facilities. Government and cooperating partners have

devised several strategies for upgrading informal settlements, mostly without enabling or engaging the residents. This has largely resulted in the failure of such initiatives as evidenced by the residents in these informal settlements who continue to experience constant discrimination and an extreme disadvantage characterised by geographical marginalisation, basic service deficits, poor governance frameworks, limited access to land and property, and precarious livelihoods (UN-Habitat 2015).

Informal settlements are vulnerable to the adverse impacts of poor and exposed environments, climate change and natural disasters due to their locations. Furthermore, they are at risk of remaining homeless when the government employs demolition as one of their commonly used strategies on premises where residents have violated regulation standards, crime control and public health concerns. Berner (2000) stated that this policy of demolition, resulting in large-scale destruction of assets, is unsustainable as this approach only addresses the results overlooking what causes informal settlements.

In this study, the research is aimed at examining the prospect of an enabling environment resulting in more inclusive and participatory approaches in upgrading informal settlements. A participatory upgrading approach is anticipated to bring about an integrated development approach, resulting in a contribution to the improved living standards of the residents. According to UN-Habitat (2015), a participatory approach to upgrading of informal settlements helps to solve the disparities in the urban development experienced by the residents of the informal settlements.

This approach ensures that the residents in informal settlements have their housing and associated services concerns addressed, they are also included in the process of making decisions which ultimately affects them (UN-Habitat 2015). In addition, it engages and puts all key urban stakeholders, including local government, community representatives, civil society, non-governmental organisations (NGOs), academia, the private sector and especially, the residents of the informal settlement, the primary and key stakeholders in the upgrading programme.

Khaled and Samra (2010) stated that the upgrading process affects both the interests of the community residents and the stakeholders. The stakeholders have to be identified so they can support the upgrading programme. The local residents will only support the programme when they believe that the programme is meeting their priority area of need in terms of upgrading their community. Furthermore, Majale (2012) agreed that it is important to integrate the

community residents in the upgrading initiatives for such an initiative to yield positive results. Residents must be sensitised and made aware of the upgrading initiatives from the planning stage, from where they are incorporated in the upgrading programme.

Upgrading of informal settlements that developed in an inclusive and integrated manner, supportive of local initiatives, contributes to improved access to social services and housing (UN-Habitat 2015). Physical upgrading of informal settlements “with street networks and improved access to basic municipal services through augmentation of physical infrastructure has proven to make formidable positive social and economic changes” (UN-Habitat 2012: Online). Socially, upgraded informal settlements “improve the physical living conditions, improve the general wellbeing of communities, strengthen local social and cultural capital networks, quality of life and access to services. In many instances, processes to improve security of tenure conditions are started” (UN-Habitat 2012: Online).

Upgrading of informal settlement becomes successful when stakeholders are fully engaged in the entire process. The stakeholders have an opportunity to determine their priority and suggest how to solve the problems (Khaled & Samra 2010). Emphasis should be placed on the value of engaging the community residents as it strengthens the communities’ capacity to contribute in planning, decision making and management of the upgrading initiatives (UN-Habitat 2015). The overall human settlement objective is to improve the social, economic and environmental quality of human settlements and the living and working environments of the people, in particular the residents in informal settlements so that they can in turn can maximise their own abilities.

1.3 DEFINING THE RESEARCH PROBLEM AND STATEMENT

The lack of engaging the community residents in the process of upgrading programme of their community has been seen as the biggest challenge in the successful implementation of upgrading of informal settlements initiatives (Mkurabita Innovations 2002). Informal settlements refer to different types of housing in communities which are self-constructed and are seen as informal because of their legal and physical status (Nassar & Elsayed 2018).

Informal settlements are developed by individual efforts, without being formally planned or complying with the relevant legislations. The informal structures are mostly constructed on land which is not designated for housing as stipulated in the city’s master plan, with the buildings not complying to health and safety regulations while there is no or limited access to

municipal services. Furthermore, the informal settlements do not have decent housing provided by the government and the private sector. Low-income levels and affordability of informal houses have contributed to the rapid population growth of informal settlements. (UN-Habitat 2009).

1.3.1 Statement of the problem

Informal settlement upgrading initiatives are failing to achieve their objective due to a lack of adequate participation by the primary stakeholders and support of existing initiatives in the implementation process. Most of the upgrading initiatives lack an integrated approach which ensures the inclusion of informal settlement residents, alongside other key urban stakeholders. According to UN-Habitat (2015), there is a lack of understanding of the local economics and social networks required to bring about a positive change to the upgrading of the informal settlements when the community residents are not fully engaged.

In globalising cities, informal settlements are seen as the manifestation of an urban crisis (Shatkin 2004) as the rural people are forced to move to cities in search of better socio-economic opportunities. This results in cities having a surplus of people most who work in industries with unsafe conditions and are lowly paid as they are unskilled (UN-Habitat 2013). UN-Habitat (2008) reported on the situations of human settlements and showed that 924 million people have homes through informal housing supply. Sub-Saharan Africa had the highest volume, where 72% of the people in urban areas are living in informal settlements.

The report projected an urbanisation rate of 4-7% which will see the population of many cities triple in 10-20 years. According to Groves (2004), informal settlements are growing at same pace as urban areas because of the housing deficit such that even those who have a better income are forced to look to informal settlements as a solution for their shelter needs.

In Zambia, an average of 50% of the people in urban areas live in informal settlements (Government of Republic of Zambia, Central Statistical Office [GRZ CSO] 2011; World Bank 2007). In their Country Assessment Report for Zambia, the World Bank (2002) further informed that Lusaka, being the capital city of Zambia, was and remains to be the primary destination for rural–urban migration among the eight major cities in Zambia with informal settlements increasing at a rate of 12% per year, because the citizens seek for better socio-economic opportunities in urban areas. Consequently, the city has experienced rapid population growth, resulting in unplanned settlements with irregular settlement patterns.

Before Zambia attained her independence in 1964, Lusaka was designated for Europeans and Asians. Africans were allowed to stay on their employers' property or in 'compounds', only while employed. Once employment was terminated, they were required to go back to their villages. The population growth, particularly in Lusaka, was due to the high copper prices Zambia experienced, administrative expansion and a relaxation of influx control. Migration to the city was further fuelled by families joining their spouses who had already settled in the city, resulting in shortages of accommodation, thereby contributing to the formation of informal settlements, the option for cheaper accommodation.

1.4 AIMS AND OBJECTIVES OF THE STUDY

1.4.1 Aims

The main aim of the study was to improve the current process of informal settlement upgrading for Misisi Compound in Lusaka, Zambia.

1.4.2 Objectives

The following objectives were used to achieve the aim of this study.

1. To understand what constitutes the upgrading of informal settlements in the Zambian and Lusaka context.
2. To determine how residents in Misisi experience upgrading processes in their residential area.
3. To learn from the residents how engaged they are in the upgrading of their area.
4. To learn how the municipality or central government support enhances the upgrading of the informal settlement according to the residents.
5. To assess the likeness of enablement processes succeeding in Misisi Compound.

1.5 RESEARCH QUESTIONS

The research problem statement above led to the following main research question for this study:

How can the current processes of upgrading informal settlements in Lusaka be improved with reference to Misisi Compound?

To answer the main research question, the following sub-questions were posed:

1. What constitutes upgrading of informal settlements in the Zambian and Lusaka context?
2. How are the processes experienced by the subjected residents?
3. What involvement is there from the side of the residents and how they want to be identified?
4. What support or involvement from the municipality or central government would enhance the upgrading of the informal settlement, according to the residents?
5. To what extent can enablement approaches be followed in the upgrading of informal settlements and Misisi Compound in particular?

1.6 JUSTIFICATION FOR THE STUDY

1.6.1 Significance of the study

This research identified improved processes of participation by the primary stakeholders in the upgrading of informal settlements. Informal settlements upgrading initiatives are being designed; however, the apparent lack of success with implementation is presumably largely attributed to inadequate participation by the relevant residents. Enabling approaches ensure that the stakeholders are part of the designing and implementation of the upgrading programme. It was hoped that the enabling opportunities identified in this research, would contribute to the successful implementation of the informal settlement upgrading initiatives.

1.6.2 Relevance of the study

This study highlighted the benefits of a people-centred approach to the upgrading of informal settlements which allows for the involvement of all stakeholders in the process of implementing a holistic approach to the upgrading programmes. Informal settlements are part of the society at large. Government has formulated and implemented upgrading policies, most of which have not met its objectives. One of the major reasons why the formulated government policies have not met its objectives has been the lack of an all-inclusive approach in the upgrading process. A policy which has been designed and lacks a participatory approach, within an enabling environment, seems to be imposed on the concerned stakeholders and is in most instances met with resistance and lacks the support for its successful implementation.

Active participation in decision making and throughout the project implementation is presumed to result in a meaningful distribution of resources, and better use and support of existing attributes such as manpower, skills and knowledge. The study investigated the close link between government agencies and how participation achieves benefits for the identified primary stakeholders.

1.7 SCOPE OF THE STUDY

This study focused on the upgrading of informal settlements in Lusaka, Zambia, by investigating a portion of the Misisi Compound as a case study. The study does not address the designing of informal settlement upgrading initiatives but provides evidence based knowledge for consideration of the planning of upgrading initiatives in the greater Misisi area.

1.7.1 Brief description of the Misisi Compound study area

Misisi Compound is one of the oldest settlements in Lusaka, established in the early 1960s. It is characterised by poor environmental health services, inadequate water supply and unhealthy housing conditions. Misisi Compound covers a total area of approximately 3 678 km². The settlement forms part of the Chawama constituency and is surrounded by the Kamwala South, John Laing and Jack Settlements. It has been identified as one of the five worst slums in sub-Saharan Africa. It is located 1.5 km south of the Lusaka Central Business District (CBD) along Kafue Road.

Misisi Compound has been purposely chosen because it is representative of more informal settlements, allowing the research findings to be applicable to a larger area. Misisi has also been at the centre of several politically motivated upgrading pronouncements which have not come to fruition, except for the provision of partial services such as communal boreholes, electricity and public facilities such as open markets and health centres. The proximity of Misisi Compound to the Lusaka CBD continues to attract interest groups and agencies wanting to carry out upgrading programmes, seemingly motivated by commercial and political interests rather than the interests of the residents.

1.8 CASE STUDY METHODOLOGY

This study made use of a case study methodology which provided the context within which the residents of the community live and where the actual upgrading of the informal settlement

has to take place. As such, the research question will be best answered with the mixed method approach of a qualitative and quantitative case study, while being guided by the overall purpose of the study (Baxter & Jack 2008).

1.9 RESEARCH DESIGN

This research made use of a mix of methods, namely qualitative and quantitative primary research; a desktop study; personal observations allowing for both objective data (breadth of the subject matter) and the human element (depth of the subject matter). This was preceded by a critical review of existing literature to familiarise the researcher with current theories and concepts (Creswell, 2014).

1.9.1 Research methods

Data collection methods used in this mixed research approach were interviews, policy and municipal documents, observations and semi-structured techniques, which involved a list of predetermined questions asked to selected respondents. Both open-ended and closed-ended questions were used (Sekaran & Bougie, 2010).

The research methodology thus employed the following:

- A literature review and synthesis of the key existing research findings to provide contextual information.
- A review of prevailing legislation pertaining to the upgrading of informal settlements in Zambia.
- Interviews, based on qualitative questionnaires, with the municipal authorities, community NGOs and the Ministry of Local Government and Housing.
- A quantitative survey involving the residents of the Misisi Compound to determine their needs, priorities, engagement potential and experience of current policies.
- Observational studies, including photographs.

1.9.2 Sources of data

According to Kumar (1999), there are two main sources of data: primary and secondary sources. Throughout the research exercise, data was obtained from both primary and secondary sources for the purpose of this study. The primary sources of data included the following:

- First-hand interviews with the municipal authorities, community NGOs, Ministry of Local Government, Ministry of Housing and Infrastructure Development and sampled residents of the Misisi Compound.
- Administered questionnaires.
- Observation studies in the Misisi Compound.

The secondary sources of data included the following:

- Government legislation and publications.
- Newspapers, archival records and websites.
- Academic books and academic and professional journals.
- Seminar papers and conference proceedings.

1.9.3 Research population and sampling size

The target population for the purposes of this study was the residents of Misisi Compound from where the sample for the study was drawn. The sample size was supplemented from among the primary stakeholders identified. The sample size was selected on the basis that they could provide the correct answers to solve the identified problem to this research study (Sekaran & Bougie, 2010). This enabled this research to draw conclusions that could be generalised to the target population.

1.9.4 Sampling methodology

Purposive sampling and simple random sampling methods were employed. The purposive sampling method enabled the researcher to obtain specific information from specific target stakeholders who could be custodians of the specific information (Sekaran & Bougie, 2010). The use of simple random sampling enabled the researcher to have the characteristics investigated in the population, to be likely distributed in the subjects drawn from the sample. Simple random sampling also gave a chance for the population elements to be selected to participate in the study.

1.9.5 Data analysis

This research study was descriptive and analytical in nature, and as such a qualitative method, which is used to gain a deeper understanding of people's views and their feelings (Silverman, 2001), was employed as the primary method for analysing the data. This was supplemented

by quantitative methodologies which provided an efficient way of collecting information on sections of the population in the area (Payne, 2001).

1.10 LIMITATIONS OF THE STUDY

Written documentation relating to the application of the research subject to Lusaka, Zambia, and the Misisi Compound was limited. In addition, financial and time constraints have been a constraint for the researcher.

1.10.1 Assumptions

The assumption was made that an informal settlement upgrading initiative has been agreed to and it is to be implemented. It was further assumed that the respondents gave honest responses.

1.11 DEFINITION OF KEY TERMINOLOGY

The key terms used in this study will mean the following:

❑ Informal settlement

An informal settlement is a residential area which has developed without legal claims to the land or permission from the concerned authorities to build. As a result of their illegal or semi-legal status, infrastructure and services are usually inadequate (Srinivas 2005). In this study, unplanned settlements have the same meaning as informal settlements.

❑ Upgrading

Upgrading (urban or slum upgrading) is broadly defined as physical, social, economic, and environmental improvements undertaken cooperatively among citizens, community groups, and local authorities to ensure sustained improvements in the quality of life for individuals (Cities Alliance 2002).

❑ Enabling approach

Enabling approach refers to an all-inclusive approach in the designing and implementation of a project allowing the beneficiary communities to prioritise their needs based on the availability of resources and institutional support in the implementation of the process (World Bank 2002).

❑ **Basic rights and entitlement**

These are basic universal freedoms and entitlements that apply to everyone. They are shared standards of dignity, justice and safety that all people should expect from the government (Office of the United Nations High Commissioner for Human Rights 2003).

❑ **City's master plan**

The city's master plan refers to the comprehensive urban development plan of Lusaka and master plans or sub-programmes for urban transport development, water supply and improvement of the living environment (JICA Study Team 2009).

1.12 CHAPTER OVERVIEW

This study is organised in seven chapters outlined as follows:

Chapter 1 introduces the subject of the research study. It outlines the research background and contextualisation, defining the research problem of the research study. It presents the research aim and objectives, with the research questions outlined. The justification for the research is outlined together with the scope and limitations of the study. In conclusion, it presents the key terminologies applicable to the study.

Chapter 2 reviews the literature on human settlements, urbanisation, informal settlements, housing and self-help housing, and enabling approaches to the upgrading of informal settlement theories.

Chapter 3 explores the literature on international housing policies and legislation influencing human settlements, urbanisation and the upgrading of informal settlements, as well as Zambia's policies and legislation framework, in particular.

Chapter 4 discusses the case study in detail, providing all the necessary information of the study setting.

Chapter 5 reports on the case study methodology adopted in the research study as well as the research approach, design, and methods used to collect information and the analysis employed.

Chapter 6 presents the results of the research findings obtained from the field research survey employed as described in Chapter 5.

Chapter 7 concludes the research study by drawing on information from Chapters 1 to 6, highlighting the contribution to knowledge and proposing recommendations of the research study.

Chapter 2

LITERATURE REVIEW

2.1 INTRODUCTION

A critical evaluation of the existing literature on participative and enabling approaches to the upgrading of informal settlements is presented. Theories on human settlements and the evolution of cities, urbanisation, and informal settlements are discussed. Self-help housing and enablement approaches as developmental interventions in the upgrading of informal settlements are also eluded to.

2.2 HUMAN SETTLEMENTS

Settlements are important because that is where most people live and are in most cases concentrated and may be prone to specific events of that location. Furthermore, settlements have distinct capitals differentiated by their building and infrastructure. Human settlements are areas where people engage in economic, social and political activities. They are places which help the utilisation of land for economic benefits (Intergovernmental Panel on Climate Change 2007).

Human settlements have evolved with time in size and quality thereby accommodating the lifestyles of the people. Human settlements has five elements namely; man, society, buildings and social relations, with an individual person being the smallest unit of human settlements. Man's spatial unit is considered to comprise of this immediate surrounding which include furniture and his cloths (Doxiadis, 1968). Human settlements are regularised in a systematic way in which villages, cities and towns are connected to each other through activities such as trade. This systematic way shows how the settlements interact with the environment and how humans use their environment (Chase-Dunn 2007).

The review of the First Global Report on Human Settlements (1986) indicated the need for national and global reforms in the area of national development, the sustainable use of the natural resources, proper planning of settlements, ensuring the use of appropriate building technologies with a shift from the normative practices to enabling strategies. In this way, human settlements will be seen as playing the role of instruments of development in the planning of sustainable cities (UN-Habitat 2011). Human settlements have been seen to have

an impact on the trends of social and economic integration on global level. Human settlements have an influence on the policies of city development which include the removing of barriers, ensuring the integration of the marginalised in the society, especially the poor and vulnerable social groups. Furthermore, human settlements can positively influence the development and formation of initiatives for improving housing and urban living conditions, and quality of life for all across the sectors of urban society (UN-Habitat 2011).

Human settlement discussions evolve around urban issues because the population growth at global and urban levels contributes to the expansion of cities. The increase in industrialisation is linked to urbanisation, and urban growth is evidenced by the increase of cities with a population of over eight million people, known as megacities. The shape and function of cities have been largely influenced by the evolution of national and global economies which are driven by the development of telecommunications and the improved mode of transportation (Devuyst 2000).

2.2.1 Qualities of a sustainable human settlement

Human settlements have elements to sustain the lives of its inhabitants. Good human settlements have qualities which allow for development of its community. The sustainability of human settlements is seen as an effort of both the place and the people living in the very society. For a human settlement to be sustainable, it should have the ability to supply the vital requirements required for living. These include water, air, food and energy, while ensuring that there is a proper way of disposing of waste. Furthermore, the physical elements of human settlements should be able to provide psychological, social and physical safety. Safety should be against hazards, poison and disease, including defence against attacks (Lynch 1959).

According to Patil and Patil (2016), in a review of the theory of Good City Form by Kevin Lynch, a sustainable human settlement is seen to have five basic qualities which affect the settlement and its inhabitants. A good human settlement should have qualities which allow for the development which is continuous within the community in an open manner. These qualities enable the settlement to perform sustainably and are presented as vitality, sense, fit, access and control. These qualities allow for the good performance of the city, ensure its sustainability and supporting the performance of the settlement, with the occupants of the settlement playing a vital role in ensuring a good performance of the human settlement.

❑ **Vitality**

This is the degree to which the form of the settlement supports the important aspects of the settlement and its inhabitants. This support echoes on the three principles, sustenance being the first, which ensures the availability of components that support life. These components include the adequate supply of food, energy, water and air, while ensuring the proper disposal of waste. The second principle is that which should be available in a settlement. The inhabitants should have a psychological sense of safety from attacks, lack of food supply, hazardous and poisonous substances, diseases as well as defence against natural disasters such as earthquakes. The third principle entails that the environment should support the natural flow of the inhabitants.

❑ **Sense**

This is seen as the way the settlement links to the human processes of perception and cognition. The characteristics of Sense include structure, which entails how small parts of the settlement fit together, and congruence which helps the settlement to be identified by its built environment. Transparency is the third characteristic which entails that one can easily perceive the functions, activities and processes taking place within the settlement. Legibility is the last characteristic. These are the physical features of the settlement which act as the tools which the inhabitants can use to communicate with each other properly.

❑ **Fit**

This is where the whole place and the behaviour of the inhabitants are matched in a settlement. It allows the general adaptability to the environment and the ability to carry out functions which ensure productivity, improving accessibility and ensuring the sustainable use of resources to reduce the cost of recycling.

❑ **Access**

Sustainability of a settlement requires that the goods and services have easy access to the inhabitants of the settlement as well and the free flow of information with minimum time and efforts. This enables the proper functioning of the settlement when people have access to other people, activities, services, and material resources for the effective functioning and sustainability of the settlement.

❑ **Control**

Inhabitants of human settlements tend to have control of the territory they have occupied and own. They have a sense of ownership for the spaces which gives them the right to use

the place, modify it and dispose of it. The owner of the space can exercise control of the space which allows them to have security and satisfaction. Furthermore, the control of a space entails that those who control it have a responsibility to do it well and with the right motives, and that they have an understanding of the control system which gives the scope of the control.

These qualities ensure the sustainability of a human settlement together with its inhabitants by ensuring the safety of the inhabitants, while giving a sense of security, ensuring the fitting of parts of the settlement and having access to tools and elements of production to sustain living by the inhabitants, while ensuring that there exists justice which is evenly distributed for all inhabitants of the human settlement.

2.2.2 The geography of human settlements

The locations of settlements, whether they are located in the cities or on the outskirts of the city, as well as the socio-economic activities of the settlement, give character to the settlement. The availability of food, local amenities, economic factors and communications determine the locations for settlements. The landscape, availability of amenities and transportation greatly influence the formation and establishment of human settlements (Zhang, Xiao, Shortridge & Wu 2014). In addition to human settlement spatial patterns, settlements can be categorised as planned settlements, which have formal housing layouts, and unplanned settlements, which have informal housing layouts, lacking basic amenities for the residents. Unplanned human settlements evolve as people settle in areas which are planned (Klug & Vawda 2009; Zhang et al. 2014).

Human settlements can be defined as urban and rural. Human settlements are referred to as 'urban' when they have high population densities as in cities, and as 'rural' when related to low population densities as in villages or hamlets. Urban settlements include large cities and towns. According to Devuyst (2000), a distinction is made between urban and rural settlements. What is or is not a city, is relative and can be considered in the context of any given society.

2.2.3 Evolution of cities

Ever since urbanists began to map and describe the city, the language of the human body has been widely used to describe urban form and to suggest ways in which cities might be planned. Such implications can, for instance, be seen in the

drawings and writings of Leonardo da Vinci. In the late nineteenth century, both Arturo Soria y Mata (1892) and Ebenezer Howard (1898) likened settlements to organisms, and even Le Corbusier – while popularly associated with machine-age functionalism – was inspired by biology and considered towns to be biological phenomena (Le Corbusier 1933; 1947) (Batty & Marshall 2009:571).

Geddes (cited by Batty & Marshall 2009:556) interpreted “evolution as being primarily driven from within the organism, rather than by external agency (as with natural selection)”.

Mumford (cited by Batty & Marshall 2009:552) argued that

[s]ince an organism has a definite boundary and maximum size, so should a city ... The analogy usually treats the city as a whole entity that develops over time, and whose optimal form (equivalent to a healthy, mature organism) is knowable in advance. This is in effect a developmental paradigm of cities, of the kind interpreted by Ebenezer Howard.

In ancient times the state was seen as the product of cities. Cities were the organisational focus of the state with the presence of political structures. The ancient cities expanded from the south-western part of Asia through Greece to Europe:

*Every city had an **acropolis** (acro = high point; polis = city), on which the most impressive structures – usually religious buildings – were built. Greeks had public spaces – **agoras**, meaning market – in which they debated, lectured, judged each other, planned military campaigns, and socialised. The Roman Empire developed massive urban systems based on a transport network that would move goods within cities arranged in a rectangular grid pattern (Scott & Stopper 2014).*

By conventional definition,

a city is a relatively large and permanent human settlement and has a particular administrative, legal, and historical status according to their local laws. The population threshold of a city can be very subjective and is dependent on the country. This subjectivity is also demonstrated in the physical boundaries of cities, which are legally and administratively determined (Jiang & Miao 2014).

Cities do expand as they have an internal capacity for economic activities which help it to generate wealth thereby attracting investment and creating employment for the people (UN-Habitat 2016).

2.2.4 Categorisation of human settlements

Human settlements can be broadly categorised as urban and rural settlements, some which are planned and others unplanned. Human settlements are differentiated based on the size, type,

location and proximity to the management structures. The definition of urban and rural is debatable because the distinction between the two is difficult to establish. However, the urban areas are mostly populated with developed infrastructure facilities while the rural areas are not densely populated with few people and inadequate amenities for the people (South Africa Environmental Outlook 2005).

2.2.5 Urban settlements

Urban settlements are defined by legal boundaries and functional areas. Distinguished by their function, “which consists of a core administrative–government centre linked by journey to work movements to a commuting hinterland” (Clark 1982), urban residents unlike rural residents, depend mostly on the formal provision of goods and services.

Some urban settlements developed as religious and cultural centres. Starting their foothold on coastal locations, the British and other Europeans developed such towns to serve as trading centres, while others have their roots as headquarters of principalities and colonial administrations (Chalupa & Hübelová 2011).

2.2.6 Rural settlements

Rural settlements are characterised by the extent of the built-up areas which are closely built, or clustered villages of a few hundred houses which is rather a universal feature. Rural settlements are characterised by physical features such as the nature of the terrain, climate and access to resources in the environment (Carter 1990). Residents of these settlements are mainly involved and specialised in agriculture or other primary activities as a way of supporting themselves. They also have close social relations which are less like a family relation. Their movements are limited among their social relations within their settlements. However, what may seem like a rural way of living can barely be distinguished from those of their urban counterparts, especially with improved communication systems (Liu, Kong, Liu & Chen 2013).

2.2.7 Clustered and semi-clustered rural settlements

The clustered rural settlements are compact and have houses built closely in a location site. The general living area is distinct and separated from surrounding suburbs. In some instances, the need for security, defence and the scarcity of water has necessitated compact settlements

for maximum utilisation of available resources. Furthermore, in clustered settlements there is minimum travelling by the inhabitants in search of daily necessities to support their living.

2.2.8 Human settlement patterns

The compact and closely built-up human settlements reflect some recognisable patterns or geometric shapes. In discussing the settlement patterns, we look at the degree of dispersion of the dwellings. These settlement patterns are mostly influenced by the site and situation-specific topographic factors such as the gradient and the terrain of the land. Land with a lower gradient tend to be most favourable for development. Environmental constraints such as hilly terrains and the changing climate are some of the factors influencing the physical landscape of settlements (Walker 2005).

The way the human settlement patterns are established helps in managing the distribution of resources, settlement management and in the development of the settlement (National Council of Educational Research and Training 2007). Four common human settlement patterns which will be discussed, include the following:

❑ Linear pattern

This rural settlement are characterised by houses in a single line found along main roads, railways and streams.

❑ Rectangular pattern

This type of rural settlement is formed in a rectangular shape around a field. The access paths conform to the rectangular shape of the settlement and they run through the settlement accessing other farms and fields in a rectangular form of the settlement.

❑ Square pattern

This type of settlement is mostly found at road crossings. It is a common feature restricting the expansion of the settlement outside the square pattern. The settlement is characterised with edges in the form of a boundary wall.

❑ Radial pattern

This pattern has a focal point which is the centre at which the streets meet. This focal point could be a market place, water point, an open meeting place where trading takes place from where the streets appear to be originating to other parts of the settlement.

2.2.9 Human settlement principles

There are some principles which human beings have observed in the process of forming their settlements. These five principles, when integrated, help to ensure that the developed settlements have a balance between the inhabitants and the built environment. Furthermore, a settlement is said to be a successful human settlement if it meets these five principles (Doxiadis 1968; National Council of Educational Research and Training 2007):

❑ Maximisation of a person's potential

This means maximisation of a person's potential contacts with the elements of nature (such as water and trees), with other human beings and the built environment (buildings and roads). It also includes a person's endeavours to increase their potential contacts with the environment once they have reached the optimum number of contacts. It is because of this principle that human beings consider themselves imprisoned even if given the best type of environment.

❑ Minimisation of a person's efforts

In shaping their settlements by giving shape to the structures, human beings select the route that requires the minimum effort required for the achievement of their actual and potential contacts, no matter whether they are dealing with the floor of a room, which they finish to make it horizontal, or when creating a highway.

❑ Optimisation of a person's protective space

In ensuring their protective space, human beings endeavour to select such a distance from other persons, animals or objects in such a way that they can keep contact with them (in line with the first principle) without any kind of sensory or psychological discomfort. The walls of houses or fortification walls around cities are some of the expressions of this third principle.

❑ Optimisation of a person's quality relationship with this environment

This principle leads to order, physiological and aesthetic which influence architecture, and in many respects, art, as people strive to have a quality relationship with their environment, which consists of nature, society, shells (buildings and houses of all sorts), and networks (ranging from roads to telecommunications).

❑ **Optimum synthesis**

Humans organise their settlements in an attempt to achieve an optimum synthesis of the other four principles and this is dependent on time and space, on actual conditions, and on their ability to create synthesis. This allows human beings to maximise their potential contacts (first principle), while minimising the energy expended (second principle) and at the same time making possible their separation from others (third principle) and the desirable relationship with their environment (fourth principle) (National Council of Educational Research and Training 2007).

2.2.10 Approach to positive human settlements

In creating positive settlements, according to the CSIR Building and Construction Technology guidelines (2000), the following spatial approach is followed and when integrated, establishes a set of location responses:

❑ **Definition**

The public space is defined by buildings and other space-defining elements such as walls and plants. This creates a sense of enclosure. The contrast is free-standing elements in a formless use of space.

❑ **Scale**

Scale refers to judgement about relationships such as size, distance and height. In settlement terms, reference is usually made to a 'human scale', which is the scale that human beings feel comfortable with.

❑ **Flexibility**

The principle of flexibility refers to the creation of spatial structures which can accommodate the unexpected demands made upon them over time.

2.3 URBANISATION

Urbanisation is looked at as a natural occurrence in urban settlements. However it is a movement of people from rural to urban areas in search of better social and economic opportunities. Urbanisation influences the population size, economic and environmental conditions of both the rural and urban areas. The rate of urbanisation can be influenced by changing urban and rural social & economic conditions (McGranahan & Satterthwaite 2014).

Urbanisation has been conceived by some scholars as the large area of built environment developed for social and economic use while others have seen urbanisation as the influx of people from rural areas to urban area in search of a better living opportunities and life which is generally associated with urban cities (Champion 2001). Furthermore, Orum (2011) agrees with the second view that urbanisation is the movement of people in large numbers to urban areas who settle there and eventually develop social institutions relations in business, government which support their daily living and activities.

Urbanisation is quantified in terms of the how urbanised a city is and how the population of the city grows. The city's urbanisation indicates how its population is in relation the population of the nation while the population of the city indicates the rate of increase for the urban population (Orum & Chen 2003). Using these two parameters, one can say that the cities are growing and that they will grow in the future.

2.3.1 Urbanisation theories

Two urbanisation theories explain the reasons for urbanisation to happen and it's the process. The two theories are namely:

□ Theory on self-generated urbanisation

This theory is also known as the theory on endogenous urbanisation. It suggests that urbanisation requires two separate prerequisites – the generation of surplus products that sustain people in non-agricultural activities (Childe 1950; Harvey 1973) and the achievement of a level of social development that allows large communities to be socially viable and stable (Lampard 1965). These two preconditions are seen in the late eighteenth century when the rise of industrial capitalism led to the emergence of urban societies in Great Britain, North-West Europe and North America (Pred 1977).

From a demographic perspective, this theory focuses more on the rural–urban population as the foundation of urbanisation, but it also identifies industrialisation as the basic driver for rural–urban migration in search for employment opportunities. However, when the focus is on cities instead of urbanisation, this theory accounts for the endogenous conditions that facilitate the transition from pre-industrial to industrial cities (Peng, Chen & Cheng 2010).

❑ **Modernisation theory**

Modernisation theory looks at technology as the fundamental basic driver in shaping urbanisation. The interactive role of population dynamics, market competition, material technology, for example transport infrastructure, and the built environment are key in making and remaking urban life (Hawley 1981; Orum & Chen 2003). In most developing countries, the modernisation theory is seen as the driving factor of urbanisation with technological progress and information penetration seen as the dominant factors. This theory has also been seen to breed inevitable social disequilibrium reflected in uneven development patterns and individual social inequality (Kasarda & Crenshaw 1991).

2.3.2 Global trends in urbanisation

Global communications have influenced the faster rate at which people are migrating to urban cities. As at 2014, 54% of the global population lived in urban areas (Burgess et al. 1997). Urbanisation is projected to continue in Africa, and many primate cities may double or triple in the next two decades. At a regional level, Southern Africa has an extreme urbanisation level of 54%, with Eastern Africa with only 26%. The rest of the regions fall in between (Tannerfeldt & Ljung 2006).

Globally, the population of the different regions grow at a faster rate. Asian has the highest number of people in urban areas followed by Europe, Africa, with Latin America been the least region with a lower rate of urbanisation (Alabi, Lasisi & Azeez 2018) as indicated in Figure 2.1 and 2.2, indicating the global pattern of urbanisation (UN-Habitat 2016). Africa's urban growth rate, which is 11 times more than that of Europe, poses challenge to Africa's environment and puts a strain on the infrastructure and public services for the growing urban residents. Rural urban migration, expansion of cities, reclassification of rural areas and natural population increase are some of the contributing factors to Africa's growing urbanisation (UN-Habitat 2016).

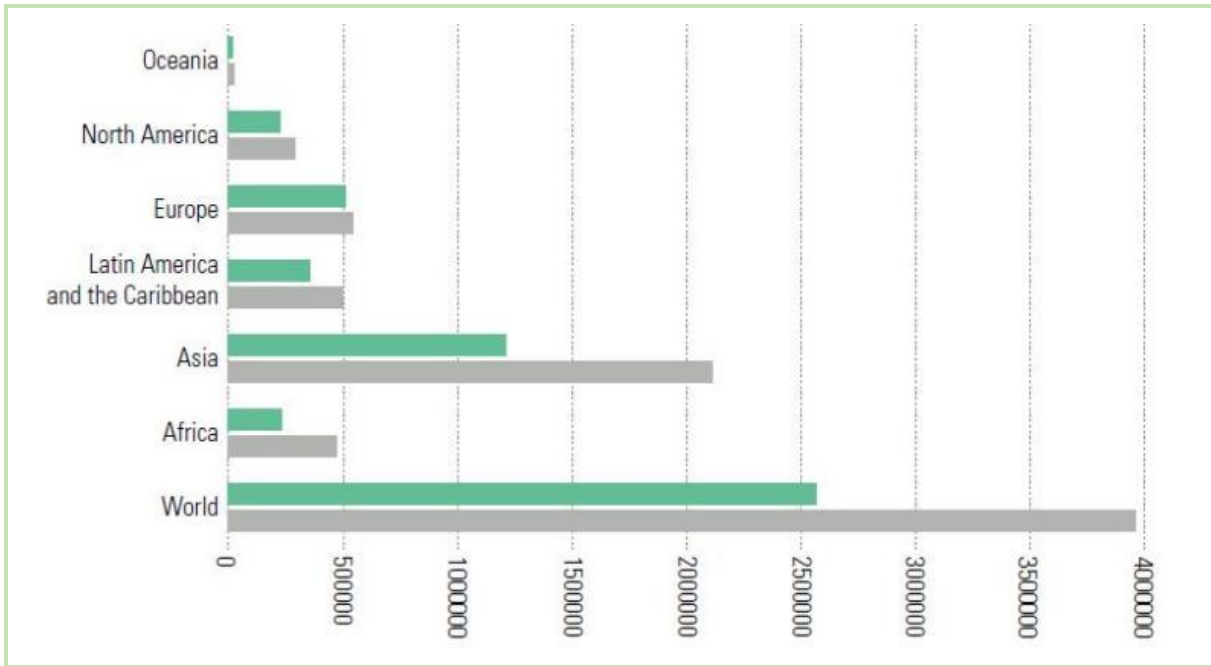


Figure 2.1 Urban population at mid-year (1995–2015)

Source: United Nations (2014)

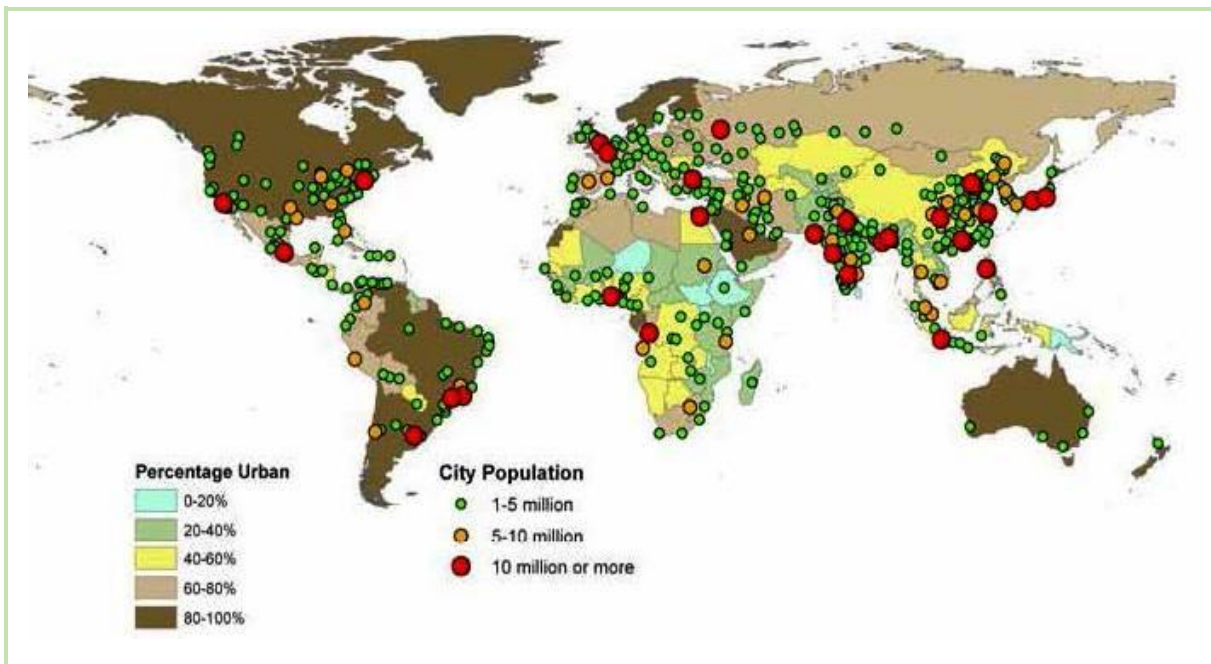


Figure 2.2 Global patterns of urbanisation 2015

Source: United Nations (2014)

2.3.3 Anthropology of urbanisation

The anthropology of urbanisation refers to the rural-urban migration and has an emphasis on the movement of people from rural to urban areas where the migrant adapt to their new environment and with a focus more on social and interpersonal relations. These changes

occur in large cities which has a more pronounced social processes and transformations of lifestyles (Al-Zubaidi 2010). Urban anthropology looks more on the cultural systems of cities as well as how they are interlinked with large and small places. It further explores world populations in an urban system.

It has been observed that urban anthropology has with time shifted its focus on thematic areas which hinge around conceptualisation of urban space, urbanism and urbanisation such as urban problems, rural–urban migration, adaptation and adjustment of humans in densely populated environments. This shift has contrasted the traditional emphasis on primitive and peasant people which has excluded urban, complex and industrial societies (Basham, 1978).

2.3.4 The process and drivers of urbanisation

Economic and social conditions of an area influences urbanisation and as such it is oriented towards large cities. Cities play an important role in economic development and they are drivers for poverty alleviating in urban areas. Furthermore, it is in the cities where higher levels of literacy, good quality of educational education is offered, better health services and access to social services is found. Productivity levels are strongly linked to economic activity, as well as human and physical endowment, and are seen as the main drivers of urbanisation. (United Nations 2014).

In the cities, there are much public investments which miss the rural areas as the government develop policies that lead to simultaneous processes of change in livelihoods, land use, health and natural resources management, including water, and budget allocations. The government driven developments in the urban areas become the pull factor, attracting factor for the rural residents to urban areas. Public and private investment in urban areas results in changes in employment, urban agriculture and per-urban productions. These factors, therefore, act as a great centripetal force in favour of urbanisation (United Nations 2014).

2.3.5 Urbanisation and development

Urbanisation has been seen as an important catalyst to the expansion and growth of cities and influencing the transformation of the existing urban places. It further contributes to the social changes of the residents in the urban areas from that of a rural set-up to one which is influenced by the complexity of an urban setting (Roberts & Kanaley 2006).

In demographic and economic literature, urbanisation is the process of population concentration. It is used to measure development as there is a close link between urbanisation and economic development. Urbanisation is seen as a catalyst which can speed up economic transformation and foster broad-based growth. According to rapid expansion of peri-urban cities should be equated with well-designed planning and the provision of infrastructure and public services to ensure meaningful urban development (Freire, Lall & Leipziger, 2014).

Rapid urbanisation coupled with unplanned development threatens sustainable development when necessary services and amenities are not developed, which should otherwise cater for the growing population. Over urbanisation puts pressure on existing amenities, housing stock and urban planning systems. This leads to unplanned expansions which in turn results in environmental degradation, unsustainability in production and consumption patterns by the residents (Chen, Zhang, Liu & Zhang 2014).

2.3.6 Urbanisation, housing and spatial planning

The concentration of the poor in slums, shanties and sleeping on the streets, with slums emerging through the process of organised and unorganised invasions of urban real estate and illegal subdivision and sale of land in cities. These manifest in the form of poor housing of poor quality and without any building standards (Peng et al. 2010). Major deficiencies exist in housing quantity and quality, and the occupants have no security of tenure and the supporting infrastructures, including access roads, water networks, collection of household waste, are not in place. Unlike the suburb in cities which are well planned, the spatial planning of informal settlements is informal and giving shape to the slum housing in informal settlements surrounding cities (Chen, Wang & Kundu 2009).

2.3.7 Urbanisation and economic development

Urban areas play a more important role in national economies as there is an association between urbanisation and economic development. The increase levels of urbanisation is a natural occurrence following economic development as many people migrate to the urban areas in search for better economic opportunities which are not present in the rural areas. Economic development is further influenced by the expansion of the built environment of urban areas, a key driver for urbanisations (Chen et al. 2014).

Urbanisation has the potential to influence economic development and as such rural to urban migration barriers should be removed in order to encourage this development resulting from

urbanisation. Urbanisation also has an effect on climate change, land use and the environment and as such there should be a comprehensive evaluation of the sustainability of urbanisation on the socio-economic aspects and the environment (Chen et al. 2014; Quigley 2008).

2.3.8 Sustainable urbanisation

Population growth in urban areas places a demand on the municipal systems to provide more housing with related amenities thereby creating significant pressure on land and housing for the vulnerable groups. However, the population growth offers an opportunity to the municipal systems to expand its service provisions such as housing, electricity, water and sanitation at a cheaper cost with minimum environmental impact (UN Habitat 2016). Sustainable urbanisation is achieved when the cities responds by providing the amenities and making the services accessible to the population and by creating economic opportunities which are equitably accessed by the residents. Further urbanisation supports other sectors such as urban agriculture which are required by the residents for their daily consumption (United Nations 2014). Inclusiveness of stakeholders is key to achieve sustainable urbanisation (United Nations 2030 Agenda for Sustainable Development). Furthermore, municipal administrations should ensure proper urban planning strategies to include interventions which promote inclusiveness and prioritisation of sustainable development.

2.4 INFORMAL SETTLEMENTS

Globally, informal settlements play an important role in the lives of the poor as their numerical significance has an influence on the well-being of the people. Although the prevailing characteristics of informal settlements are not fit for human habitation, they serve as a cheaper alternative for housing to the poor and are links for people to facilitate for a better life through socio-economic opportunities in urban areas (Turok, Budlender & Visagie 2017). In developing countries, informal settlements are home to 78% of city dwellers, who do not have security of tenure to the property they live in, which are built without acceptable standards, are overcrowded and with inadequate social and amenity services. The informal settlements lack proper supporting infrastructure services, with degraded environmental conditions (UN-Habitat 2003).

According to UN-Habitat III (2015), informal settlements is defined as:

[R]esidential areas where 1) inhabitants have no security of tenure vis-à-vis the land or dwellings they inhabit, with modalities ranging from squatting to informal

rental housing, 2) the neighbourhoods usually lack, or are cut off from, basic services and city infrastructure and 3) the housing may not comply with current planning and building regulations, and is often situated in geographically and environmentally hazardous areas. In addition, informal settlements can be a form of real estate speculation for all income levels of urban residents, affluent and poor.

The term 'informal settlement' refers to the legal (unlawful) status of the settlement or houses, while 'slum' refers to the physical housing conditions (Baken, Nientied, Petternburg & Zaaijier 1991). For the majority of slums dwellers, their concern is about the security of their residential status as opposed to the security of tenure which every individual has the right to be protected by the state against unlawful eviction (UN-Habitat 2006). The prospects of having legal documentation to land and property ensures security of tenure. It helps the owner to use the documentation to secure loans for business investment and improvement to their property, as opposed to having a land owned by the village headman or the community wards chairperson. However, the process of registering the land for title deeds seem to be financially draining for the poorer landowners as the process requires substantial financing which is not within the reach of most of the informal dwellers (Antwi & Adams 2003; Gough & Yankson 2000).

The UN-Habitat's (2003) operational definition of slums combines physical and legal elements of settlements and includes the inadequate access to safe water, inadequate access to sanitation and related infrastructure, poor structural quality of houses, overcrowding and insecure residential status. Slums are not the same as informal settlements but their definition overlaps as a number of slum dwellers are also unable to access formal housing and therefore live in informal settlements (Abbott 2001).

Baken et al. (1991) classified informal settlements as those settlements that:

- occur due to (un)authorised occupation and subsequent development of land owned by the public or private entity;
- illegal subdivision of land which has not been officially demarcated and authorised by the municipality or state; and
- constructed without planning permission and without regulated building standards.

Informal settlements comprise of self-constructed shelters which are characterised by dense proliferation of small, makeshift shelters built from diverse materials (such as plastic, tin sheeting and wooden planks) and by degradation of the local ecosystem such as erosion, poor

water quality and sanitation (Mason & Fraser 1998). These settlements may start out as ‘illegal’ or ‘informal’ and after a period it is legalised. ‘Informal’ is usually defined as the opposite of ‘formal’ in economic terms; the formal being the capitalist, neoliberal and global economy. In urbanism, the formal is the planned, institutional and legal city. Furthermore, formal may imply legality while informal may impute illegality (Hernandez-Garcia 2013). The distinction between informal settlements and unplanned settlements is difficult to describe, although all these areas have similar physical and socio-economic characteristics. (Doherty & Silva 2011; Karimi & Parham 2012).

2.4.1 Global perspective on informal settlements

Globally, informal settlements are known by various names (squatter settlements, favelas, *poblaciones*, shacks, *barrios bajos*, and *bidonvilles*). The global south is more pronounced with the presence of housing informality with a few found in developed countries (UN-Habitat III 2015).

Economic models which favour industrialisation and urban development have influenced the rapid urbanisation in Latin American cities with rural-urban migration resulting population growth. This puts pressure on cities to provide infrastructure and associated amenities for the growing population (Gilbert 1998). Furthermore, the governments are forced to look for alternative ways of accommodating themselves in informal settlements. Informal settlements which were illegal and considered to be marginal were viewed as a growing problem requiring solution in terms of providing housing and controlling the unplanned development which was manifesting within and at the peripheral of cities (Hernandez-Garcia 2013).

According to Payne (1989), in some cities, informal settlements have grown so rapidly that they now represent a majority of the entire housing stock and are the most common means for poorer households to obtain residential land and housing. Informal settlements are part of almost every city in the southern hemisphere, with nearly 70% of the sub-Saharan urban population living in informal settlements (UN-Habitat 2006).

2.4.2 Factors influencing the formation of informal settlements

A wide range of interrelated factors such as the growth in urban population, shortage of decent accommodation for the mass poor, including weak policy in the area of planning and urban management, contribute to the formation of informal settlements. Inequality in economic opportunities, natural disasters, marginalisation of minority groups, natural

disasters and environmental degradations are some of the factors which further contribute to the formation of informal settlements (UN-Habitat 2015). According to the global report on human settlements UN-Habitat (2009), 32% of the global urban population live in informal settlements and this has attributed to the failing municipal planning for the growing population in urban areas.

2.4.3 Drivers of informal settlements: Urbanisation

Informal settlements and urbanisation are closely linked. According to Tannerfeldt and Ljung (2006), the increase in urban population, results in the demand for housing which is not sufficient even for the mass poor who live towns and cities as there will be a demand for housing and related amenities. This inability to meet the demand due to urban population growth gives rise to unplanned settlements, which act as a source and provider for cheaper and affordable accommodation. According to Rydin (2011), there are three basic factors which influence urbanisation, which are rural–urban migration, natural population growth and the periodical classification of rural into urban areas.

In most instances, it is the desire by immigrants to seek for a better way of life with available socio-economic opportunities in urban areas which is looked at as a primary driver for urbanisation, which Tannerfeldt and Ljung (2006) named the ‘pull factor’. The pull factor plays a crucial role in rural–urban migration. Once the people migrate to the cities, they require places to live in. This, in turn, gives rise to the demand for housing which Turner (cited by Harris 1991) defined as a basic need and necessary to enhance the aspirations to a better society.

2.4.4 Forms of informal settlements

Informal settlements take two basic forms based on the land formation, namely settlements on land owned by private individuals and used mainly for agriculture purposes and settlements on land owned by the state:

❑ Settlements on private owned land

Informal settlements mainly grow through the conversion of large agricultural plots to small residential plots by the people who have worked on the farms or those who have illegally invaded the unutilised land by the owner. Furthermore, the owner of the land could have subdivided the land and sold to the people, mostly immigrants, which eventually grows into an informal settlement.

❑ **Settlements on publicly-owned land**

This form of informal settlements grow from the people who illegally invade public land. These are the land which are usually preserved by the city's master plan as recreational and open spaces. Furthermore, some land grabbers who are inclined to the ruling political party illegally subdivide the public spaces and sell to individuals.

2.4.5 Types of informal settlements

Taking into account the broad definition of slums used by UN-Habitat (2006), insofar as the term implies homogeneous extension of sub-standard housing, it is difficult to identify 'slums' in places where housing in 'slum' conditions is intermixed with housing which cannot be considered as 'slums'. In such a situation, the context in which 'slums' are discussed is centred on areas in which slum conditions exist (Walker & Porraz 2003). Two main types will be discussed, namely shanty townships and degraded housing in the centre of an old city:

❑ **Shanty towns**

The first context is composed of commonly built housing in areas of wasteland around the edges of the city. This sort of housing results in precarious constructions without urban services with extremely poor conditions of crowding and contamination. These settlements have an uncertain future as they are mostly earmarked for demolition. In social terms, these settlements are often characterised by high levels of social marginality, prostitution, long-term unemployment and poverty. These have also served as the gateway for new immigrants to the city, providing cheap lodging in very poor conditions.

❑ **Degraded housing in the centre of the old city**

The second context is composed of degraded housing in the centre of the old city, historic centres concentrated in a few areas and characterised by old housing in a poor state of repair. According to Smith (2011: Online), housing is seen as a product of social, economic, political and human realities, and is understood to be a process that helps build communities and be a roof for a fair and healthy society. This context is further characterised by inadequate urban services, high concentration of social inequality and marginal activity, drug addiction, trafficking and petty crime.

2.4.6 Characteristics of informal settlements

Informal settlements can be defined using three basic characteristics which are interrelated and will help in understanding the informal settlements, namely physical, social and legal characteristics (Angignu & Huchzermeyer 2009; Srinivas 2015).

❑ Physical characteristics

Informal settlements have a minimum services and infrastructure provisions such as water supply, sanitation, electricity, roads and drainage, market places and social infrastructures due to its inherent ‘non-legal’ status. Informal settlements are looked from the context of informal housing. Mostly the houses in informal settlements do not conform to the laws and regulatory framework set-up in a particular city (UN-Habitat 2003).

❑ Social characteristics

Inhabitants of the informal settlements, particularly in slums, suffer more from spatial, social and economic exclusion from the benefits and opportunities of the broader urban environment. They experience constant discrimination and an extreme disadvantage characterised by geographical marginalisation, basic service deficits, poor governance frameworks, limited access to land and property, precarious livelihoods, and due to the informal settlements’ location, they experience high vulnerability to the adverse impacts of poor and exposed environments, climate change and natural disasters (UN-Habitat 2015).

The population of informal settlements is mostly rural–urban migrants who work at the minimum or below the minimum labour wages in various informal sector enterprises. The households may comprise a number of people employed below the minimum wages. Overcrowding in informal settlements contributes to stress, violence and increased problems of drug use and other social problems, thereby posing significant risks on health of the residents who do not even have access to proper health care.

❑ Legal characteristics

Lack of ownership to the parcel of land is a key characteristic which delineates an informal settlement. According to Ley (2009), the terms ‘squatter’ or ‘informal settlement’ refer to the legal (unlawful) status of the settlement or houses. The residents build their dwellings illegally without planning permission and building regulation guidance, coupled with a lack of any legal ownership to the land (Angignu & Huchzermeyer 2009).

2.4.7 Spatial and socio-economic conditions

Informal settlements are growing at a rate of 12% per year because of urbanisation with increasing poverty level and worsening health conditions as compared to other areas in the city. The settlements are without infrastructure and services such as piped water points, safe drinking water and no systematic waste collection (World Bank 2002).

The spatial conditions of informal settlements correlate with the social conditions which is evidenced with crime, drug abuse and prevalent levels of prostitution. Furthermore, the settlements also tend to encroach the public spaces such as road networks (Karimi, Amir, Sahfie & Rafor 2007). Generally these informal settlements have a poor disposal of solid waste which may result in the frequent outbreak of waterborne diseases, particularly during the rainy season (Angignu & Huchzermeyer 2009).

2.4.8 Challenges of informal settlements in modern cities

Informal settlements shape quickly, and normally lack the time to adjust to favourable socio-economic conditions. The settlements have poor movement networks which make it difficult to access them, resulting in a segregated area with internal problems which cannot be entirely solved by the residents themselves. The poor socio-economic conditions in these settlements impact on the physical conditions, resulting in overcrowding and illegal occupation of land on private spaces (Dovey & King 2011; Karimi 2002).

Slums provide for a cheaper source of housing and as such, tenants of these settlements are principally faced with two major challenges: the landlord of their rented property who can at any time evict them as they do not have any written contract for their rented property and the unjustified increase in rental at any time. The other threat the tenants face is the likelihood of eviction from the settlement by the municipal government (Walker & Porraz 2003).

2.4.9 Social and economic advantages of informal settlements

Informal settlements are generated largely due to large cities offering economies of scale attracting people migrating from the rural areas as a cheaper transitional place. Turner (1969, cited by Wekesa, Steyn & Otieno 2011) took a positive outlook about informal settlements a cheaper source for housing in the absence of government's capacity to provide for formal housing for the poor masses. Informal settlements serves as a gateway and offers hope for a cheaper lifestyle to the people who have come to the urban cities in search for better

economic opportunities to improve their livelihoods. Furthermore, these migrants have been a cheaper source of labour for the growing and expanding industries in cities (Turok et al. 2017).

2.4.10 Role of informal settlements in urban housing

Housing in large cities is always on high demand as the cities continue to attract people migrating into cities in search for better economic opportunities. The government does not have the capacity to deliver the housing requirements as demanded by the urban population (Srinivas 2015). The informal settlements offers many rural people coming to the cities cheaper shelter in relation to their occupation. The settlements then become part of the solving the housing deficit in urban areas (Cross 2013; Turner 1968).

2.5 HOUSING AND SELF-HELP HOUSING

Self-help housing, also known as self-managed housing (Turner 1982), has been and remains a major source of creating housing for low-income groups worldwide, and particularly in developing countries. By self-help housing, Turner (1976) has always meant not only the investment of sweat equity by owners in their homes, but also the processes of owner-design and management. It is the element of autonomy, which he defined as the issue of ‘who decides’, which is the key aspect of self-help housing.

Self-help housing has been defined by various authors, with Zhang et al. (2003) defining it as a process through which the people construct their own houses using their own financial and labour resources. According to Ritzer (1996), self-help housing is a mode of housing production, where the owner mobilises the funds and materials and builds the house for himself, unlike where someone else, such as the government, builds the house for them. This mode of housing production may receive external support in the form of finances or building materials.

The concept of self-help housing is one which has existed long before conventional town planning was practiced in cities (Nnamdi 2011; Pugh 2001). In the words of Ward (1982):

Historically, self-help housing schemes became common in developing countries in the 1930s and early 40s prior to the Second World War through the implementation of pilot housing schemes by the International Cooperation Administration (formally Housing and Home Finance Administration), a United States Agency in Latin American countries.

The aspect of 'self' can be involved at any stage of the construction of the houses in various forms such as funding, supply of building materials and the provision of labour. Furthermore, assistance from cooperating partners supplements the efforts of the residents in implementing self-help programmes through the provision of building material grants, and technical supervision in order to ensure conformity of the built houses to acceptable standards (Nnamdi 2011; Ward 1982).

2.5.1 Theories on self-help housing

It was in the 1960s that self-help housing became an important paradigm in the housing delivery due to inadequate government-driven housing provision (Pugh 2001). Self-help housing had the potential of delivery low cost housing. Most of the housing delivery systems in the in formal community had some element of self-help (Burges 1992; Turner 1976).

The most pronounced advocate of the theory and practices of self-help housing was Jacob L. Crane (Harris 1998). The pioneering work of Turner (1976) on housing in Latin America paved the way for the rise of self-help housing. Through his groundbreaking work in the 1960s, Turner succeeded in changing the world's perception about self-help housing programmes as an alternative means of low-income housing provision (Harris 2003).

Turner's pioneering work (Turner 1976) on housing in Latin America paved way for the rising of self-help housing though Jacob L. Crane (Harris 1998) was the most pronounced advocate of the theory and practices of self-help housing. Through his work in the 1960, Turner (cited by Harris 2003) managed to change the perception of self-help housing as a cheaper source of housing for the poor masses.

2.5.2 Self-help housing ideas

Self-help housing is a new idea in the field of housing which surfaced in the late 1950s and it had changed the entire outlook on the question of housing the poor. A new outlook was provided on the phenomenon of squatter settlements and shanty towns based on the field research carried out by a few researchers in cities of Asia and Latin America, when they began to notice the unintended negative consequences of large-scale, modernised city-building schemes (Ward 2012). These squatter settlements and shanty towns had become a permanent feature of most developing cities with the housing situation extremely poor with no access to any kind of 'legal' housing options.

According to Abrams (1964), these settlements were seen as transitional and that they would disappear automatically with enhanced modernisation. However, by the early 1960s, it became evident that these settlements were in fact increasing dramatically and at a faster rate than the growth rate of the city as a whole. This led to the phase where the government tried to eradicate these settlements as far as possible as the settlements were considered to have undesirable housing and being unproductive elements of the city.

It was at this juncture that researchers such as Charles Abrams in Asia and later Turner in Latin America, came up with observations about these settlements that were quite contrary to the commonly held negative impressions of them (Turner 1968). They found that these settlements managed to create appropriate shelters that were suitable to their needs and affordability.

Turner, Turner and Crooke (1963:389) demonstrated how people using their own resources and creativity had produced 50 000 dwelling units in a seven-year period (1949–1956), while the government had built 5 476 units in this same period, which were not affordable to an average urban family. This change in perception of squatter settlements as a ‘solution’ rather than a problem led to a new school of thinking that can be labelled as the ‘self-help’ school, led by Turner, and its eventual adoption by the World Bank and the United Nations (Turner 1969).

Anthropologist William Margin, in his article published in the *Latin American Research Review* 1967, titled ‘Latin American squatter settlements: A problem and a solution’, was perhaps the first person to actually call these settlements a ‘solution’ even if they had problems. Margin exposed many of the stereotypes about irregular settlements, showing that given a chance, these settlements were upgraded over some 15 to 25 years through self-help, mutual aid, and state-supported interventions (cited by Ward 2012). The advocacy of self-help led to changes in the provisions of housing from that solely provided by government agencies to that where the owners are fully involved, commonly known as enablement (Margin cited by Turner 1969).

2.5.3 The originality of Turner’s ideas

Three fundamental elements, namely the value of self-help, assistance for self-help and squatter settlements and the rationality of the poor have influenced Turner’s argument about self-help (Harris 2003).

❑ **The value of self-help**

Turner recognised that self-help is valuable as it not only helps families to reduce housing costs but also ensures that their dwelling will best fit their needs and circumstances. He argued about the importance of control over the building process, and for the ways in which self-help created settlements that better suited the need of their occupants. Turner (cited by Crane 1951) emphasised planning *with* not *for* the poor, allowing for the tapping into the rich but unrealised potentials of the people themselves.

❑ **Assistance for self-help**

Although not the first to do so, Turner (cited by Harris 2001) recognised that the governments should support self-help through the development of programmes of assistance to owner-builders, leading to major international agencies adopting the recommendation as policy. Self-help coupled with government assistance provided a variety of benefits.

❑ **Squatter settlements and rationality of the poor**

It was during the 1960s that Turner's readers were struck with his idea that squatter settlements were not the problem but a large part of the solution. The argument was that such settlements were not only adapted to the needs and circumstances of their residents but have also typically improved over time (Harris 2001).

Turner had faith in the rationality of the poor and he assumed that people were the best judge of their own needs, and that the settlements they created were likely to best meet those needs. Turner was against the idea of destroying and replacing such settlements, for example through programmes of 'urban renewal'. Such settlements, according to Jacobs (1961), had a functional aspect that planners and politicians like to label as slums.

2.5.4 Critics of self-help housing

Critics of Turner's ideas on self-help argued that he had glossed over some of the high social costs of living and raising a family under conditions of high insecurity, without adequate social amenity services, and in poor and hazardous dwelling conditions (cited by Ward 2012).

Rod Burgess, an English geographer, had been the most ardent opponent of Turner's ideas on self-help housing. Burgess's ideas was based on the neo-Marxist approach which draws on housing as a commodity in an economic system and that housing influences the increase of labour force (cited by Soliman 2004).

Burgess (1982) argued that policies to intervene in an informal process only facilitated the penetration of the upper circuit, where capitalism thrived, into the lower circuit of informality and capitalism. To Burgess, self-help was a mechanism for cheapening the cost of reproduction of labour in two ways: first, by suppressing demand for higher wages that generated extra profit for the employer, and second, by reducing housing costs that lowered the costs of social reproduction by labour. In essence, self-help did not challenge capitalism but instead helped it to thrive, as mentioned by Gugler (1997).

According to Ward (2012), Turner and Burgess made important contributions to the literature, although the fact that none of them questioned their own ideology, blurred their analysis. Burgess dismissed any evidence that self-help policies did not always facilitate the exploitation of the working class. Similarly, Turner advocated the notions of autonomy and unfettered freedom to build their own houses.

2.5.5 Self-help housing as a response to rapid urbanisation

Public housing programmes in developing countries have not met the expectations of providing for the required housing stocks, as only approximately 10% of the total housing stock has been contributed by the government for the poor masses (Burgess 1985; Berner & Phillips 2003). Many governments have realised that they are unable to provide housing for the masses and as such, they have looked at self-help housing as an alternative option to supplement their efforts in the provision of the much required housing stocks (Harris & Giles 2003).

Self-Help housing reduces the cost associated with building of a house and it ensures that the owners have dwellings that fit their needs and circumstances (Turner 1976). Jacob Crane, an American planner, agreed with Turner as he is actually the one who coined the phrase ‘aided self-help’. He pointed out that the owners had the capability of providing for their own and that the government role would be to assist them in this process (Harris 2003; Crane 1944; 1949).

2.5.6 The role of self-help housing in upgrading informal settlements

According to Turner (1976), self-help housing create settlements that better suit the needs of their occupants, unlike allowing the professionals to think for the occupants what they should do. The best approach is for the professionals to help the people plan and act for themselves, emphasising that self-help is a part of the process of community development.

Solving housing deficits in the upgrading of informal settlements through traditional 'low-cost' housing programmes by most governments, has been a challenge as many 'low-income' housing policies continue to be based on the provision of traditional high-rise or single-family units, which may be unaffordable to as much as 50% of the urban population (World Bank 1982).

Self-help housing allows the beneficiaries to complete their housing units with their own resources in the way they wish, using the materials and design of their preference and normally with no required time by which the construction must be completed, while the local planning authorities provide services such as communal standpipes, roads, and planning of street layouts and public spaces (Turner & Fichter 1972).

Self-help concept in housing provision enables the families to reduce construction costs as the families contribute their own labour and they often are able to acquire cheaper building materials at a discount or by using quality second-hand materials (Bamberger, Sae-Hau & Gonzalez-Polio 1982). Participants in the self-help projects acquire the necessary building and organisational skills which they can use on the completion of their houses and future maintenance of their houses and community building projects.

2.5.7 Types of self-help housing

Three types of self-help housing namely; aided self-help housing, unaided self-help housing and institutional self-help housing. Bangdome-Dery, Eghan and Afram (2014), will be discussed.

❑ Aided self-help housing

Aided self-help housing has been described as housing where sites and services are provided by the local authority and the individual households take the responsibility of constructing their own housing units (Pugh 2001). The partnership with the local authority ensures that the road networks, electricity, water infrastructures and sanitation facilities are provided to accompany the provided parcel of land to the individuals.

❑ Unaided self-help housing

Unaided (*laissez-faire*) self-help housing is a housing concept where the local authority plays no role in the provision of the housing units. The individual is responsible for the purchase of the parcel of land, materials and labour in order to complete the construction of their individual housing units. This housing concept is particularly common among the

residents who may be considered to be in the middle income group and receiving no external assistance. Unaided self-help housing is said to contribute both to the housing stock and economy of a country (Harris 1991; World Bank 2010).

❑ **Institutional self-help housing**

Institutional self-help housing helps the low income group have access affordable housing and have their lives improved (Sukumar 2001). It is mostly implemented through community-based organisations such as housing cooperatives (Gonzalez Corzo 2005), where both technical and building material support are channelled to the residents through established schemes.

Through the community-based organisations, the residents are trained in different artisan fields such as plumbing, carpentry and bricklaying to assist in building housing and other infrastructures in their community. The role of the established organisation is that of facilitating for financial and technical skills support (Srinivas 1991).

Self-help housing is advantageous in that it helps to reduce the construction costs and ensures that the beneficiaries are technically equipped during the process of participating in the construction of their houses (Gough 1996).

2.6 ENABLING PARTICIPATORY APPROACHES TO THE UPGRADING OF INFORMAL SETTLEMENTS

Upgrading of informal settlements which includes ensuring security of tenure should be based on meaningful community participation which should be gender-sensitive and includes people with disabilities (Huchzermeyer 2011). The participation of residents in improving their settlements ensures that they become part of the solution for solving the housing problems in their community hence, the need for the government to support participation initiatives in the community, which is important for an enabling environment. In an enabling environment or paradigm, local initiatives are supported and enhanced by means of the specific intervention. This, however, requires the prior identification of such initiatives (Srinivas 2005).

2.6.1 Enabling upgrading approaches of informal settlements

The enabling approach is seen as the key to achieving the informal settlement upgrading programme. Delivery of public services succeeds based on primary factors such as basing the

service levels on what the residents want. The upgrading initiatives achieve limited success because of the adopted ‘top-down’ approaches (World Bank 2002).

Upgrading of unplanned settlements favour enabling approaches as involving the communities from inception of the project allows the community to prioritise their needs based on the availability of resources while being supported by the municipal authorities (World Bank 2002).

2.6.2 Informal settlements upgrading and site-and-services approach

The two popular approaches used by the public authorities to upgrade settlements have been informal settlement upgrading and sites-and-services (Srinivas 1991);

Informal settlement upgrading has been an option where a settlement has been allowed to continue to exist on the parcel of land and some significant upgrading is done through the assistance of the municipal authorities. These upgrading has included the issuing of security of tenure documents, the provision of social services and amenities (Srinivas 1991).

Site and services is a concept that became popular in the 1970s. The concept of site and services provided a package comprising a parcel of land with services such as water, sewer systems and electricity (Harris 2001). The success of site and services laid in the availability of institutional support, legal ownership to land, and provision of infrastructure utility services. The quality of housing construction are regulated, and planning of site and services incorporated in city planning (Goethert 2010).

2.6.3 What is meant by informal settlements upgrading?

Upgrading at its most basic level involves improving the physical environment of the informal settlements. This includes improving and installation of basic infrastructure such as water, sanitation, waste collection, access roads, storm water drainage and land regularisation (Dowall & Clarke 1996).

According to Abbott (2002), the term ‘informal settlement upgrading’ does not have a clear and concise definition. It applies to any sector-based intervention in the settlement that results in a quantifiable improvement in the quality of life of the residents affected. Upgrading of informal settlements is meant to ensure more secure tenure so that eviction threats are much reduced. This ensures that the residents are able to build on the investments they have already made in their housing. Informal settlements upgrading plans should accommodate the

envisaged growth of a city's rapid urbanisation to prevent more informal settlements to be formed (Tipple 1994).

According to Huchzermeyer (2009), the scale and scope of 'upgrading' varies from minor improvements (for instance street lighting, communal water taps and some improvements to surface drains) to major transformations, including piped water and sewerage connections to all dwellings, improved provisions for schools, health care and public space, secure tenure and support for households to improve their dwellings (Dawson & McLaren 2014:24,67).

Good practices for the upgrading of informal settlements suggest that it has to include upgrading and improvements to existing housing and infrastructures and avoiding any displacement of people to the extent that would entail disrupting the livelihoods and social networks of the residents. Relocating the residents normally entails that they are placed to sites that are far from income-earning opportunities (Huchzermeyer 2009).

Furthermore, there should be an agreement with the residents on what should be done and the allocation of the upgrading responsibilities. There should be measures which assure the transfer of tenure and the participation in the construction of the prioritised infrastructure and services. The local planning authority has to coordinate with all other government agencies to provide the necessary infrastructure and services (Patel 2013).

2.6.4 Informal settlement upgrading approaches

The approaches taken by informal settlement upgrading policies vary considerably, as do their degrees of success. Informal settlement upgrading is seen as one of the most effective ways of solving urban poverty, and security of tenure has been seen as an important aspect of upgrading, a need for sustainable economic activities. Different approaches have been used in solving informal settlements which include demolition and formalisation of the settlement (Wekesa, Steyn & Otieno 2011). A favourable approach is to improve the living conditions of the residents with minimum displacement (Minnery et al. 2003)

The basic informal settlement upgrading approach would focus on the improvement of physical services such as roads and drainage, plus improving the quality of housing and ensuring the security of tenure. The Kampung Improvement Programme, initiated in Jakarta in 1969, became a model for slum improvement. This has been called 'the world's first slum upgrading programme' focusing on improving physical conditions by providing basic infrastructure and upgrading housing (Tunas & Peresthu 2010). The project consulted the

community during the planning phase and used community labour during the construction and maintenance of physical infrastructure.

The participation was achieved through the community leaders and activity groups, thereby promoting the establishment of cooperatives and creating an economic autonomy. Community participation incorporated training allied with construction and health awareness. Incorporating the community from the planning stage, ensures that the roles of the community are defined from the inception of the project and ensures that a far more integrated approach to the upgrading of informal settlements is followed (UN-Habitat 2006).

The ultimate most useful approach is one that includes changes to urban governance so that community capital can be maintained and improved over the longer term (Minnery et al. 2003). This is described in the hierarchy in Figure 2.3.

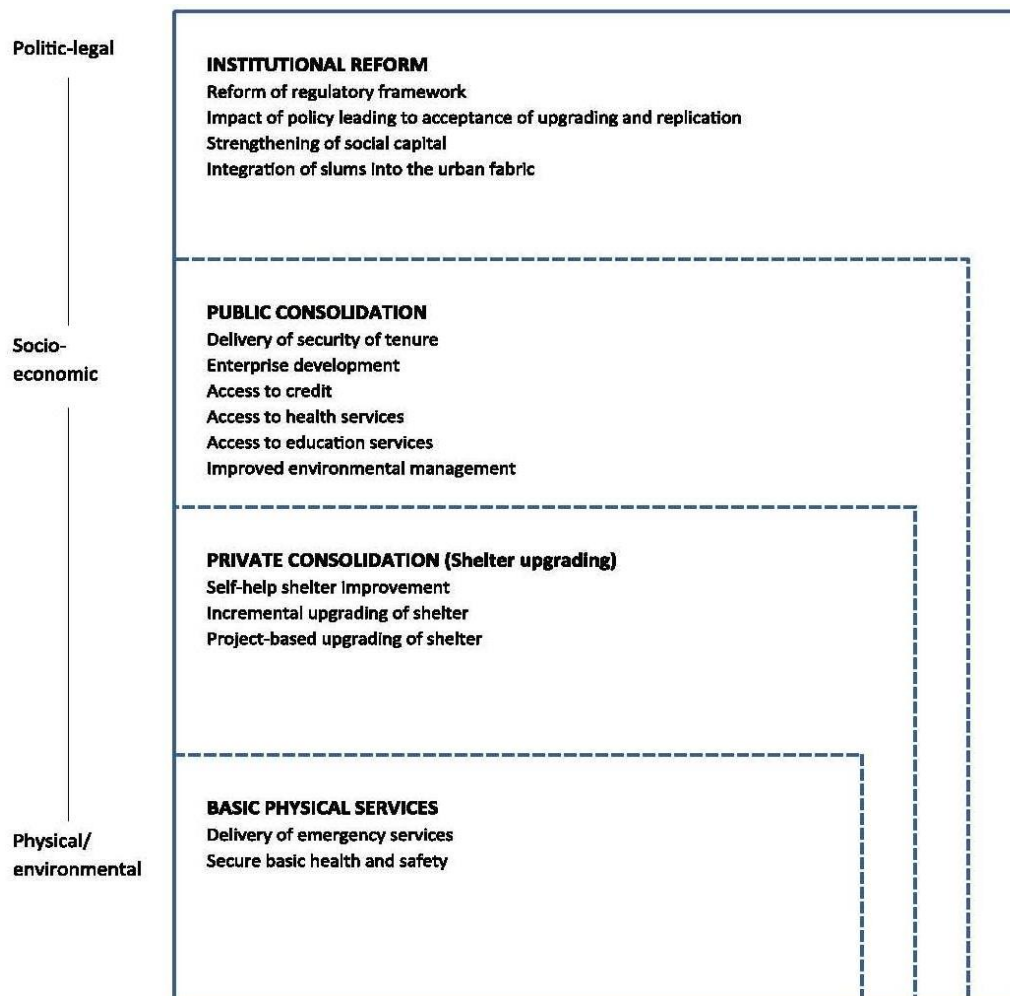


Figure 2.3 Hierarchy of upgrading approach

Source: Wekesa et al. (2011)

2.6.5 Participatory informal settlements upgrading approach

Participatory approach platform brings together the stakeholders including local authorities, private sector, NGOs, and especially the inhabitants of the informal settlements is considered more likely to promote the necessary partnerships, governance arrangements, institutional structures and financing options which result in inclusive planning and sustainable outcomes. The inhabitants of the informal settlements in particular have the important knowledge, skills and capacity to contribute and direct their own upgrading process (Turner 1976).

Participatory approaches in upgrading of informal settlements have been seen as a global best practice and essential to the successful implementation of informal settlement upgrading. Furthermore, the inclusive approach towards the improvement of their living conditions brings fundamental sociocultural changes towards a rights-based society (McLeod 2011).

Upgrading of unplanned communities has common objectives. The involvement of communities ensures that they decide on their priority areas in the upgrading programme, while providing a solution which is cost-effective and sustainable (World Bank 2002). According to Jordhus-Lier and De Wet (2013), the problem is that the term ‘participation’ is more spoken of than put in practice. Participation is deemed to be a process of conceptualising to implementing the agreed decisions (Arnstein 1969). In some cases of upgrading of informal settlements, the various experts already have defined the plans and options and what remains for the residents is to be included in the consultation process at a later stage.

In a participation process it is not everybody who gets involved in the decision-making process; hence, the concept of representation cannot be overlooked. The community can elect leaders such as traditional leaders, informal authorities, and political leaders to represent them in the participatory process. These elected leaders are entrusted with the responsibility of coordinating the community responses and distributing information and resources (Jordhus-Lier & De Wet 2013).

2.6.6 The role of community participation in upgrading informal settlements

The active participation of the residents in the upgrading programmes of informal settlements sets the foundation for successful implementation of community projects (Patel, 2013; Turner 1976). Community participation is seen to have two roles. It can be a means to achieve basic

needs such as housing infrastructure and it is a means for communities to influence decision making.

According to Hamdi (2014), community participatory practices are necessary because they ensure both efficiency and equity. It ensures that there is sharing of responsibilities with other stakeholders, which in turn ensures efficient results. Participation entails partnerships with other stakeholders and as such, community participatory practices bring about partnership which are key for the successful implementation of projects, as partnerships allow stakeholders with the vested interests in the projects to come together, as well as sharing of risks (Hamdi 2014).

The extent of participation by the residents in collaboration with different actors in the upgrading process is what results in infrastructural development, improvements to tenure security and well-being (Patel 2015). Participation of the residents further ensures a good representation of all the concerned stakeholders on a project (Hamdi 2014).

The residents of the informal settlements have the knowledge, understanding and the required experience of their situation, which are deemed as worthy of being included. Participation allows for sharing of this knowledge and techniques of doing things, which is in the custodian of the residents, the key stakeholders to the project. This information, which is hidden in the residents, could only be made available to the project through their participation in the project (Hamdi 2014).

Residents' participation in the upgrading of informal settlements allows them to be the ultimate designers and implementers of the projects. This includes consultation from an early stage in the process. Participation by the community residents ensures that the projects are not contested and or entrenched into legal battles by opposing parties (Lizarralde & Massyn 2008).

Participation allows the residents who have alternative ways of solving their own problems different from those of the professional stakeholders, discover those ways and they are empowered to exercise those alternatives (Turner 1976). Participation is a good way of getting people interested a project. In this way, the participating community would be able to embrace the project and thus ensure continuity of the project after the outside stakeholders pull out after the implementation phase (Hamdi 2014).

The involvement of the residents in the upgrading of informal settlements ensures that planning issues and concerns regarding the upgrading programme are addressed in community meetings and open discussions (Messay 2015), with any potential conflicts and threats to the success of the implementation of the project resolved at an early stage (Patel 2015). In the planning stages, participation will allow for the common interest to be defined, with a stakeholder analysis clearly defined, knowing who the actors are, and whose interest are at stake and also whose priority will count among others learning about the culture of decision making which may impact on the implementation of the project (Hamdi 2014).

2.6.7 Informal settlement formalisation and in situ upgrading

Approaches to dealing with informal settlements have ranged from demolition and resettlement to formalisation of the settlements (Wekesa et al. 2011). According to Minnery et al (2011), the improvement of the settlements should focus more on the improvement of physical infrastructure services such as water and sanitation networks, roads and drainage. These improvements would mostly include the improvement to dwelling houses.

In situ upgrading has been employed in the upgrading of informal settlements as it has an inclination towards participatory interventions. According to Huchzermeyer (2011), the upgrading programme should include the provision of security of tenure and that the community should be fully participate in the process. This approach involves the upgrading and improvement of existing communities by providing services, rationalising housing and street layout (Kiddle 2010).

2.6.8 Incremental approaches to upgrading informal settlements

Incremental approaches, also known as progressive development or auto-construction (Mukhija 2014), can be a key part of the strategies employed in upgrading of informal settlements. Incremental approaches may offer a good option to meet the immediate large-scale challenges of upgrading the informal settlements which may be expensive and technically demanding and overtaxing the scarce administrative resources (Goethert 2010).

Incremental approaches in the context of upgrading of informal settlements allow for the step-by-step process, with the main infrastructure developing incrementally, allowing for a community-driven process in which case this may be the beneficiary community of the informal settlement. According to Goethert (2010), incremental approaches to project implementation drew on the experience of the 1970s with 'site and services/core projects'

which mimicked informal settlements but with institutional support, legal title and attendant services.

Abbott (2002) identified physical infrastructure as a clearly integral part of any sustainable human settlement which can be provided through the 'incremental improvement model' whereby service provision moves from the primary, or basic level, through an intermediate level to full conventional infrastructure.

Incremental approaches accommodates flexibility and effective use of available resources by actively involving the residents in building their own community through a gradual improvement process within the framework of urban planning interventions. It has been seen as a major component in urban development (Wakely & Riley 2011).

In addition, it has been noted that incremental approaches offer a strategic opportunity for the cities to guide their upgrading process, collaborating with other development initiatives, while phasing in the provision of vital infrastructures and services such as water and sanitation in stages, beginning with communal services and progressing to individual house connections (UN-Habitat 2003).

2.7 CONCLUSION

This chapter explored literature on human settlements, urbanisation, informal settlements, housing and self-help housing, and enabling approaches to upgrade informal settlements from a global and regional perspective. Human settlements were looked at from the context of any given society in relation to the population density, size and complexity of their activities, with a city being viewed as a permanent human settlement.

It is a result of human settlements that urbanisation evolves on the basis of self-generated or interactions of population, market and technological factors. Population is a primary factor in the evolution of human settlements and urbanisation. It is the quest for the provision of settlements that informal settlements mushroom as an economic alternative to the desired urban settlements. As the population grows, efforts by both authorities and the inhabitants are focused on explorative ways of improving the settlements in a cost-effective and inclusive way using different enabling participatory approaches.

Chapter 3

HOUSING POLICY CONTEXT AND INSTITUTIONAL FRAMEWORK

3.1 INTRODUCTION

International and local institutional frameworks and legislation applicable to human settlements, urbanisation, the formalisation and regularisation of informal settlements in relation to enabling approaches and the provision of housing in various settings, are discussed in this chapter. Specific attention is paid to the Zambian context.

3.2 PERSPECTIVES ON INTERNATIONAL FRAMEWORKS AND POLICY CONTEXT

A perspective of the institutional framework and policy context as stipulated by international and regional institutions is reviewed in this section. Human settlements should allow people to live and have access to means of productivity without discrimination, have access to and have ownership to property, while enjoying the evenly distributed built environment for their livelihood (UN-Habitat 1996). Furthermore, as set in the Agenda 21, human settlements should encourage economic development and in its development there should be a consideration for sustainability (UN-Habitat III 2016).

3.2.1 Sustainable human settlement

The UN-Habitat I (1976) recognised that unacceptable human settlements are likely to be aggravated by uncontrolled urbanisation, unless positive and concrete action is taken at all decision-making levels. It was recommended that meaningful and effective human settlement policies are adopted to foster socio-economic development. Furthermore, the UN-Habitat I Declaration recognised the need for accessibility of adequate shelters by all, and recommended spatial planning, orderly urbanisation, progressive minimum standards, community participation and tenure of land by the residents in human settlements.

The report of the UN-Habitat II (1996) reaffirmed the goal of adequate shelters for all and to ensure sustainable settlements that encourage the rationalising of natural resources in urban areas. It further committed to promoting accessible human settlements by ensuring there is

urban planning and management in the provision of mass housing and community facilities. In its agenda, goals and global plan of action, UN-Habitat II committed to improve human settlements as they affect the lives of the people.

Housing has been identified as both a challenge and an opportunity, as it is at the centre of socio-economic development and plays a role in sustaining the environment. The provision of housing is used to ensure that there is provision of equitable cities and as such, housing policies need to be coordinated with the provision of well-located and connected land and infrastructure, and integrated with socio-economic development opportunities. A broad range of housing solutions are being used at different scales and with different models, including rental housing, progressive housing, improvements and expansion (UN-Habitat III 2016).

As a way of supporting housing and sustainable urban development as stipulated in the New Urban Agenda (2017), the national urban policy paper of UN-Habitat III raises the challenges faced by informality that include settlements and informal economic activities. The paper recommends the protection of informal settlers by encompassing informality in land rights as this would eventually promote sustainable and inclusive urban settlements. Furthermore, in dealing with upgrading and integration of informal settlements, the national urban policy addresses the aspects of land tenure, connectivity and mobility and house improvements, as informal settlements are often ignored, or land development decisions devolve into demolition and dispersion of settlers, rather than recognising, rehabilitating or redeveloping inadequate settlements.

The New Urban Agenda of the UN-Habitat (2017) views urbanisation as a vehicle which ensures inclusive sustainable economic growth, which gives an opportunity for the replanning, designing, development and management of human settlements. Furthermore, it envisages cities and human settlements which are participatory and engender a sense of belonging and ownership among the inhabitants. According to the report of the Inter-Agency and Expert Group on Sustainable Development Goal Indicators (United Nations. Economic and Social Council, 2018), in its strategic policy for sustainable development on the national implementation of Agenda 21, the policy priority goal of the Southern African Development Community (2001) ensures sustainable human settlements by providing shelter for all and ensuring integrated and adequate provision of environmental infrastructure.

3.2.2 Enablement participation

The UN-Habitat II (1996) committed to ensuring enabling all key players participate in human settlement development. Enabling approaches ensure the decentralisation of functions and responsibilities to the lower organs. This promotes a broad-based participation which encourages transparency, enabling local leadership and the promotion of democratic rule at all levels, as well as defining and enhancing the roles of stakeholders in the development of sustainable human settlements.

Participation by the public in all matters related to human settlements should be encouraged and sustained by ensuring that communities and a comprehensive range of stakeholders shared inputs in all aspects of the development of human settlements. The ‘bottom-up’ approaches and practices are viewed as legitimate alternatives for positive change and that its success relies upon participatory and inclusiveness (UN-Habitat III 2016).

3.3 ZAMBIA’S LEGISLATIVE CONTEXT AND INSTITUTIONAL FRAMEWORK

Zambia has policies and legislative frameworks which govern the legalisation of unplanned and informal settlements (World Bank 2002). This regularisation works as follows: These settlements are first recognised by the municipal authority and then regularised by the central government through the Ministry of Local Government (MLG). Existing legislations and policies give a general guideline on informal settlements. The following national legislation and policies in this study have used:

- The Urban and Regional Planning Act 2015 (URPA).
- The National Housing Authority Act 1972.
- The Seventh National Development Plan (7NDP) (2017–2021).
- The 1996 National Housing Policy.
- The National Housing Policy (under review) (2018).

The National Housing Authority (NHA) is mandated to manage low-, medium- and high-cost housing portfolio, while physical planning of Greenfield and existing settlements, with the guidelines and regulations provided for the formalisation and upgrading of informal settlements is vested in the Urban and Regional Planning Act. Further policy guidelines have been provided through the 7NDP, which has given a policy direction towards focusing more

on the low-income groups and the provision of social housing, to ensure that the housing deficit is reduced and that housing is affordable for all.

3.3.1 The Urban and Regional Planning Act 2015

The URPA is the primary legislature which provides for the general planning framework and policies relating to develop and management of land and measures for the improvement of physical living environment, including informal settlements. The URPA gives planning guidelines at regional and local levels, including integrated development planning, while incorporating local and sectoral planning of settlements. Informal settlements which have been improved, are declared as improvement areas with individual parcels of land processed for occupancy license and certificate of titles.

The URPA provides for the establishment of an inclusive participatory approach that allows for involvement of stakeholders in the process of human settlement planning and development including the process of declaring the settlement as an improvement area. It also provides for the control and improvement of housing in statutory housing and improvement areas (that is, legalised unplanned settlements). Furthermore, the URPA has provisions for guidelines of the residents to obtain the security of tenure documentations to their land and property (World Bank, 2002).

The construction and building guidelines in terms of the URPA allows the municipality to determine what building specifications to apply for dwellings and other buildings in a particular area. These specifications often pose a financial burden on the inhabitants, causing them failing to comply and their buildings not being approved for habitation.

3.3.2 Overview of the National Housing Authority Act 1972

The National Housing Authority Act, Cap 426, gives the NHA the sole responsibility to manage Zambia's housing portfolio. The NHA is mandated to advise the government on housing policy, keep under continuous review the housing conditions and needs, to secure and control housing accommodation.

To ensure that the minimum housing standards and specifications are met through the planning and construction of houses, the NHA also approve building materials. A further function of the NHA is to establish a revolving fund for housing, with particular reference to

the construction of low-cost housing and to facilitate and manage private sector participation in the housing delivery system.

The NHA's approach to improving informal settlements is to clear the squatter settlements and plan for improvement and redevelopment of such places. The demolition of unauthorised urban development without adequate notice or compensation by the government may not be the best option of clearing the settlements as it disturbs the settlement pattern, social networks and livelihoods of most inhabitants.

The above approach by the NHA also constitutes the biggest challenge to promotion and protection of housing rights for the poor who resort to informal settlements as the affordable alternative to housing. The inhabitants of the informal settlements may find it difficult to finance the upgrading of their dwellings according to the required specifications.

In reality, the NHA has not been able to deliver to the expectations as most of the construction of housing developments undertaken has been at commercial rates way beyond the affordability of the poor, including the serviced plots which have been offered to the public. The government has stated that the National Housing Authority Act would be reviewed and a national housing development strategy developed (UN-Habitat 2015).

3.3.3 The Seventh National Development Plan (2007–2021)

The 7NDP was developed as a follow-up to the previous national development plans, to among other developmental plans, ensure the development of urban and peri-urban areas. This guideline has been done through the 7NDP, envisaged at solving the growing housing demands by setting funds to construct affordable housing for the low income groups, and ensuring that efforts are directed at accelerating the process of formalisation and upgrading of informal settlements.

Furthermore, the 7NDP intends to increase expenditure towards infrastructure development in rural areas with the provision of support to innovative ways in the housing delivery supply chain, increase in the waste management by promoting green technology in housing development.

The implementation of the previous national development plans was executed with the introduction of sites and services with fully serviced plots with basic water, sewerage, roads and street lighting, though the established site and services schemes and projects were viewed as having sub-standard housing. The site and services plots were introduced with an idea of

being affordable; the plots were, however, not affordable to the majority of the population nor were there enough in number to meet the demand (Ngenda 1994; Schlyter 1998). The scheme was further criticised as having approached housing in an ad hoc manner or as a response to political pressure from urban squatters affiliated to the present ruling political party (Schlyter 1998).

The 7NDP focus will be targeted at improving housing developments and service delivery in deprived segments of urban settings through public private partnership and community participation to strengthen the implementation process as it has recognised the disparities the availability of social services and amenities in planned and unplanned settlement.

3.3.4 The 1996 National Housing Policy

The National Housing Policy was produced by the MLG in 1996 to provide a comprehensive assessment of the housing situation in the country and as a vision for the development of adequate affordable housing for all income groups in the country (GRZ MLG 1996:iii). The policy gave hope and appeared to give an impressive priority to the housing development through the provision of finance by recommending that 15% of the total national budget each year be allocated to housing development, making the provision of serviced plots available for housing development and streamlining the land allocation system.

In recognition of the participatory and innovative manner in which the policy was formulated, the UN-Habitat awarded the Zambian National Housing Policy the 1996 'Habitat Scroll of Honour' (UN-Habitat 2015). The policy recognised the important role played by community-based organisations such as residents' development committees, in the formulation and implementation of developmental projects and as such did recommend the community participation in the provision of adequate housing for the masses.

3.4 REVIEW OF THE 1996 NATIONAL HOUSING POLICY IN RETROSPECT

According to Schlyter (1998), Zambia has seen the living conditions of the low income groups deteriorate as the urban areas are growing. Local authorities who are expected to allocate serviced parcels of land with associated services have not done so. Furthermore, there has been a lack of maintenance on the part of the already provided services such as street lightening, walkways and dilapidated community halls, open spaces and playing fields. Initiatives by the NGOs, in cooperation with residents and support from different sectors,

have carried projects of housing improvements, with the government and the local people playing a facilitating role.

The Global Shelter Strategy to the Year 2000 (UN-Habitat, 2006) which has a more general character, was produced to advise government on housing policy, and cited by governments and local authorities (Zambia included) as playing a facilitating role in the provision of housing, while the private sector, NGOs, community-based organisations and individuals have been named as the key implementing actors (Giles 1996; Pugh 1994). In the Zambian history, housing was tied to employment to avoid creating a permanent African urban population. Only skilled labourers were allowed to live in urban areas with their families, only for the duration of their employment. After retiring, the labourers were expected to return to their rural areas (Schlyter 1998).

After independence, people migrated to urban areas in search for better opportunities presented in urban areas, causing the expansion of squatter settlements as an immediate source of housing for the poor. The country was faced with a growing housing backlog and also lacked an effective housing delivery system (GRZ MLG 1996). Largely, the 1996 National Housing Policy remains a policy that has not been implemented due to the absence of the implementation strategy and assigned institutions to oversee the implementation process.

3.4.1 Constraints to housing delivery

The policy recognised certain constraints such as building materials and informal housing in the effective delivery of housing provisions. Costs for conventional building materials was one factor which affected the delivery of housing. The unfavourable economic conditions after the drop in copper prices, the macro-economic environment affected the delivery of housing due to high inflation and prevailing banking interest rates. This further affected the construction industry and the sector's generation of employment opportunities (GRZ MLG 1996).

Informal housing which comprises of houses built without formal guidelines and well-planned layouts as found in squatter and upgraded squatter settlements which did not meet the requirement building standards and were not supplied with the required social services, but however, continued to increase in numbers not subjected to the downturn in the copper price in the same way.

3.4.2 Implementation strategy of the 1996 National Housing Policy

A strategy gives the path of action that defines, in specific terms, the goals, resources, responsibilities and timeframes for implementation of a specific project or programme (Hunsaker 2005). According to Marzotto, Burnor and Bonham (2000), policy implementation is important in the policy circle when the theory is put into practice, and its effects and impacts are analysed. Implementation brings the outcomes that are congruent with the objects, ensuring that the expectations are seen as the policy results (Hill & Hupe 2002).

The implementation of the 1996 National Housing Policy was confined to the central system of government. Furthermore, the responsibility to implement was not effectively decentralised, resulting in a limited realisation of the policy (Kammeier 2002). The policy recommended that 15% of the national budget be channelled towards the development of housing; however, budgetary constraints hampered this ideal. The process of streamlining the building standards, regulations and other control measures has also taken long and is still an ongoing process. The above has slowed the implementation of the policy, causing the government to begin the reviewing of the policy and implementation strategy.

3.5 THE 2018 DRAFT NATIONAL HOUSING POLICY AND IMPLEMENTATION STRATEGY

The National Housing Policy (GRZ MLG 1996) is under review, resulting in the draft policy of 2018. An annual housing shortage of 222 000 conventional housing units is estimated. The current housing supply has focused on the medium and high cost leaving out the low cost housing. This has resulted in the shortage of housing at the lower end, with local authorities having limited financial and technical capacity to deal with the growing demand for low cost housing.

The review of the policy is aimed at facilitating the provision of adequate, affordable, decent and efficient housing for all socio-economic groups by focusing on low-income units through the promotion of local building materials and innovative ways of building construction and the implementation of integrated plans. This is a valuable policy environment being created and conducive to the introduction of self-managed or owner-managed delivery of housing, which is the type of housing that can be delivered within an enabling environment. The policy under review recognises that the current housing delivery market does not still work

for the majority of the poor population who are unable to afford the minimum standard housing, especially in a rapidly growing urbanisation.

The draft National Housing Policy has an overall objective to promote sustainable formal human settlements by regularising and upgrading informal settlements, replanning of settlements to ensure an increase in formal housing development, and provision of settlement infrastructures and other amenities to ensure improved access to infrastructure services in formalised settlements, while ensuring that the local authorities have the required capacities to manage sustainable urban planning. The draft policy has proposed an emphasis on the need for community engagement through the entire upgrading process to ensure community ownership of the upgraded settlements.

3.6 URBANISATION TRENDS IN ZAMBIA

Zambia remains one of the most urbanised countries in sub-Saharan Africa (UN-Habitat 2005) and is rapidly becoming an urban rather than a rural society. “The post-independence decade of the 1960s brought the rapid development of cities in Zambia which was attributed to the copper boom of the 1960s and early 1970s, which was processed in the country and whose export made Zambia relatively rich.” (World Bank, 2002). According to the World Bank report (1974), Zambia’s urban centres were stimulated by mining developments early in the century with about 95% of Zambia’s urban population in the major cities, including Lusaka, the capital and administrative city of Zambia.

Rapid urbanisation has exerted pressure on the infrastructure and social services, which has been most felt in the housing sector, with only a proportion of the total housing stock fully serviced. Furthermore, most of the informal housing stock is situated in rural areas where the dispersed settlement patterns make it difficult to provide basic infrastructure and social services.

3.6.1 Urban development

The unbalanced development between the rural and urban areas has caused an influx of people in the urban areas. There has not been a corresponding response to build houses for the growing population. There are many traditional housing types found in squatter settlements in urban areas, where there is unclear tenure systems, no basic services and lacking amenities, where streets are narrow and there is little open space for common amenities (Xaba 2005).

Largely due to urbanisation, there has been major development challenges that impinge on human and economic development and result in environmental degradation. In Zambia's major cities and urban areas, the majority of residents live in squatter and unplanned settlements, resulting in most of the urban residents lacking adequate access to housing, energy, clean and safe drinking water, sanitation, quality health services and employment opportunities (GRZ Ministry of National Development Planning [MNDP] 2017).

Urbanisation in Zambia is concentrated along the line of rail in Lusaka, Ndola and Kitwe where most urban centres are located. These urban centres generally have better public services and the residents have access to better economic opportunities as compared to those in rural areas. This has contributed to the difference in the outlook of settlements in the rural and urban settlements. (GRZ MNDP 2017). Currently, Zambia's urbanisation rate is estimated at 4.3%, nearly 41.8% of the population living in urban areas (World Bank 2002).

3.7 ZAMBIA'S PERSPECTIVE ON INFORMAL SETTLEMENTS

Illegal settlements established on the periphery of the colonial centre mushroomed. Initially the government hoped that these areas could be removed and their residents resettled elsewhere so that there would be no need to provide urban services and utilities (GRZ 2017). Challenges to finance this alternative proved to be unaffordable; hence new approaches to the provision of urban shelters had to be sought. It is estimated that 80% of existing housing in Zambia is informal, which has limited or no formal services such as electricity, water and sewerage system. Lusaka accounts for 70% of the people living in unplanned settlements where 20% of the residential houses in Lusaka are located Word Bank (2002).

3.8 CONCLUSION

This chapter provided a review of the policies and legislation in the Zambian context in relation to informal settlements, housing and urbanisation. Zambia has a sufficient institutional framework to facilitate the upgrading of informal settlements. The review of the current national housing policy addressed the housing shortage in the lower end of the market through an enabling approach in the housing supply chain and hoped to emphasise the implementation of the policy by decentralising the implementation process.

Chapter 4

DESCRIPTION OF STUDY AREA

4.1 INTRODUCTION

This chapter describes the case study with all the necessary information of the study setting. It provides an overview of the city of Lusaka, where Misisi Compound, the study area, is located. The informal settlements setting in Lusaka is also highlighted.

4.2 SELECTION OF MISISI COMPOUND AS THE STUDY AREA

The purpose of the research was to study the improvement of the current process of informal settlement upgrading for the Misisi Compound informal settlement in Lusaka. Misisi Compound is one of the 37 informal settlements in Lusaka and it characterises more informal settlements in Zambia and Lusaka, in particular, and as such it became a suitable study area for understanding what constitutes upgrading of informal settlements in the Zambian and Lusaka context. Misisi compound has experienced upgrading programmes which have been a good example of determining how residents have experienced upgrading processes in their residential area.

4.3 CITY OF LUSAKA AREA

The City of Lusaka was established in 1905 as a station on the railways to Copperbelt where copper was discovered. Lusaka, which is centrally located, was chosen as the new capital city replacing Livingstone which is located on the southern board of Zambia. The city covers an area of 375 km² (the total municipal area is approximately 423 km²) with over 20 km² not yet been urbanised.

Lusaka, in addition of being the national capital, is both the main administrative centre for Lusaka Province and Lusaka district. It is one of the smallest, but densely inhabited towns with 4 841.6 people per square kilometre (GRZ Central Statistical Office [CSO] 2016). About 70% of Lusaka's population live in informal, unplanned settlements and site-and-service settlements, comprising 20% of the city's residential land.

The population of Lusaka has continued to grow and became more urban, currently standing at 1 747 152 people, with more households in urban than rural areas. The middle-aged population is higher in urban areas than that of rural areas, with individuals engaging in various economic activities as a means of acquiring and sustaining their basic livelihood needs (GRZ CSO 2014).

4.4 MISISI COMPOUND – THE STUDY AREA DESCRIPTION

4.4.1 Location

Geographically, this study is focused on Misisi Compound located 1.5 km south of the Lusaka central business district (CBD), along Kafue Road in Lusaka, Zambia’s capital city. The settlement is located in Ward 1 of the Chawama constituency and covers a total area of approximately 3.678 km². As illustrated in Figure 4.1, Misisi Compound is part of Chawama constituency and is surrounded by the Kamwala South, John Laing and Jack Compound.

Misisi Compound has a strong physical and functional connection to the city of Lusaka due to its geographical proximity to the CBD. Residents of Misisi Compound daily travel and from the CBD to conduct business activities for their living (People’s Process on Housing and Poverty in Zambia [PPHPZ] 2015).

The location of Misisi Compound has attracted a lot of interests in land and property development by individuals and political cadres. Some of the challenges attributed to Misisi Compound have been the acquisition of ownership documentation to land, and encroachment on road reservations, public spaces and private land. The area used for the purposes of this study is the location near Blue Waters. The location is the most neglected with most harsh living conditions and indicative of local initiatives which may support some enablement approaches.

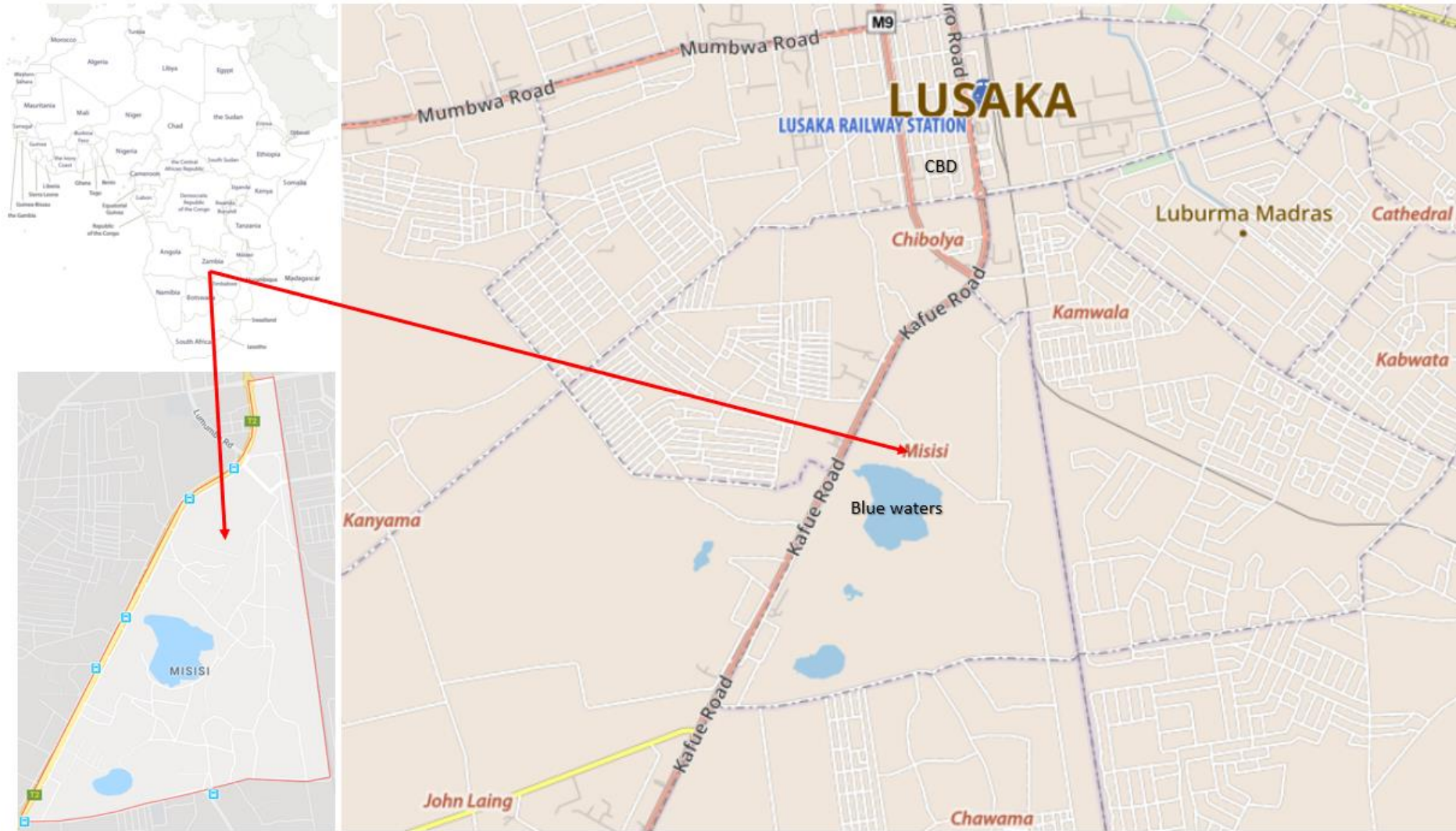


Figure 4.1 Map of the study area, Misisi Compound, in Lusaka

Source: Compiled from Michelen and Setera maps

4.4.2 History of the settlement

Established in the early 1960s, Misisi Compound is one of the oldest settlements in Lusaka and has been identified among the five worst slums in sub-Saharan Africa. Misisi Compound grew out of a previously white-owned farm. The settlement was originally established on a small piece of land that the white couple allocated for farm workers' residences during the duration of their work (PPHPZ 2015). Subsequently, they were joined by workers from a nearby quarry mine.

The population of the settlement grew and more people came to settle in this area until it reached its current proportions. The name Misisi was derived from the wife of the white farmer who was called 'Kwa Mrs' by the employees, hence the name Misisi (Mwebantu News 2017: Online). It was the white farmer's wife, Mrs Laing, that gave permission to construct shelters on the land so that the workers could live near the farm. It was from calling her 'the Mrs' that they named the area after her as 'Misisi' (PPHPZ 2015).

4.4.3 Security of tenure

Misisi Compound has been recognised as an improvement area by the Lusaka City planning authority as provided for in the URPA, which is the principal legislative document on upgrading of informal settlements and providing regulations on the sustainability of the upgraded settlements (LCC 2010).

The residents of the declared improvement area are entitled to apply and be issued with documentation for security of tenure to their property and land. The occupancy license serves as the legal documentation for the ownership of both their land and property in the declared informal settlements.

4.4.4 Population and housing

Misisi's population is estimated at 56 663, with 10 832 households and an average household size of 5.2 (LCC 2010). The high birth rate and the number of new settlers in the settlement has contributed to high population in Misisi Compound. Though Misisi Compound is recognised for habitation by the LCC, the residents do not have formal document of ownership to their property and live in fear of eviction in favour of any government supported upgrading programme (LCC 2012).

4.4.5 Social characteristics of Misisi Compound

The total population of Misisi Compound is estimated at 56 600 with approximately 10 000 households (GRZ CSO 2016). Misisi compound's proximity to the Lusaka CBD serves as a hub of cheap labour for the formal sector in factories, shops and private institutions. Majority of the residents work the in informal sector and of these, most people are vendors in market places, work as domestic servants or work as informal traders, while a handful are in formal employment.

4.4.6 Spatial characteristics of Misisi Compound

The houses in Misisi Compound are informal which are constructed with without planning guidelines and not meeting building standards. Few of the houses which are made of mud, bricks and blocks have walls which slightly go above the door level with the roof made of old scrap metal sheet covered in plastic materials. The houses are closely built and they do not have social service provisions on site such as water supply, sanitation, electricity, roads and drainages. Figure 4.2 shows the typical housing infrastructure in Misisi Compound.



Figure 4.2 Typical housing infrastructure in Misisi Compound

Source: Author's own (2019)

Misisi Compound has no designated dump sites for solid waste. Open and public spaces have been turned into dumping sites. Roads in the settlements are not tarred and accessibility within the settlement is a challenge due to uncoordinated development patterns and spatial fragmentation. The lack of a proper drainage network has seen Misisi experiencing floods in the rainy season (see Figure 4.3).



Figure 4.3 Physical environment in Misisi Compound

Source: Author's own (2019)

4.5 INFORMAL SETTLEMENTS IN LUSAKA

The cities in Zambia are characterised with informal developments (settlements). The growth of informal housing is a normal situation in urban areas where housing supply cannot meet the housing demand by the poor masses in the urban areas. These informal settlements are characterised by low-cost houses, with poor living conditions.

The report on the Lusaka Integrated Development Plan (JICA Study Team 2009) stipulates that the urbanisation is contributing to the informal settlements in Lusaka at a rate of 12% per year. Residents build their own houses in an informal way with poor sanitation facilities which are mainly shared among households.

4.5.1 Informal settlements upgrading schemes

The first major upgrading schemes were done in the 1970s, with the government recognising the need of upgrading the existing settlements by giving legal tenure and providing basic service and infrastructure. Issuance of the formal document of ownership to land to the residents was facilitated by the government's involvement as stipulated in the Second National Development Plan of 1972–1976 (Jere 1984). There have been a number of initiatives to improve amenities and the general living conditions in unplanned settlements by the Zambian government supported by donor agencies, especially in Lusaka which is the capital city, where most unplanned settlements are located (World Bank, 2002).

The World Bank completed its first informal settlement site and services upgrading programme in 1981. The upgrading scheme provided housing sites in the informal settlements of Lusaka. Though the programme managed to contribute to solving housing problems, it lacked a financial plan to sustain the operations of the programme (World Bank 2002).

An example of what communities are prepared to and can do has been demonstrated in the CARE-supported Chipata Community Water Scheme. The settlement was recognised and declared an improvement area and the upgrading programme considered water supply as spearheaded by the community (World Bank 2002). The project demonstrated the enabling approach and the following key lessons were derived from its implementation:

- The community should be engaged from inception in the designing and implementation of the project.
- Facilitators should allow the community for whom the upgrading programme is intended to benefit, and to initiate the programmes.

4.6 CONCLUSION

This chapter presented a description of the case study. It explored the selection of Misisi Compound which characterised more informal settlements in Lusaka as the study area and examined the setting of the research study by outlining the characteristics of the informal settlements within the city of Lusaka.

Chapter 5

RESEARCH DESIGN, APPROACH AND METHODS

5.1 INTRODUCTION

The research design, approach and methods adopted for this study are discussed in this chapter. The case study methodology and the mixed method research approach is highlighted as well as the techniques applied in the collection and analysis of the data. The chapter further explores the forms of data collection adopted from the survey in addressing the research question for this study.

5.2 CASE STUDY METHODOLOGY

According to Baxter and Jack (2008), a case study methodology provides the setting and enables the author to have a true picture within which the context occurred. Yin (2003) defined the case study research method as “an empirical inquiry that investigates a contemporary phenomenon within its real-life context, when the boundaries between a phenomenon and context are not clearly evident, and in which multiple sources of evidence are used”.

The case study methodology provided the context within which the residents of the community live and where the actual upgrading of the informal settlement has to take place and as such, the current study’s research question will be best answered with the mixed method approach of qualitative and quantitative case study while being guided by the overall study purpose (Baxter & Jack 2008).

5.3 RESEARCH DESIGN

The research design provided the road map of how data was collected, analysed and interpreted to arrive at an evidence-based answer to the research question(s) (Sekaran & Bougie 2010).

The aim of the study was to explore the engagement desires and abilities of residents and to assess the likeness of enablement approaches succeeding in the upgrading of Misisi Compound and, as such, the research design typically involved conducting interviews. An integration of qualitative and quantitative research was used to determine how residents in

Misisi Compound experienced upgrading processes and to learn how engaged they were in the upgrading of their area (Kleniewski & Thomas 2011).

5.4 MIXED METHODS RESEARCH APPROACH

The mixed method approach was adopted as a suitable approach to answer the research question, how the current processes of upgrading informal settlements in Lusaka could be improved with reference to Misisi Compound in Lusaka. The identified research problem, the inadequate participation of residents in planning, implementation and monitoring of urban settlement programmes as the major gap in the implementation of upgrading of informal settlement initiatives were suitably answered through the mixed method approach.

The qualitative approach enabled the researcher to build a scenario and help the research to do the research in a familiar environment (Abawi 2008), while the quantitative approach enabled the researcher to quantify certain findings and to develop generalisation to explain, understand and contribute to the study.

5.4.1 Qualitative approach

Qualitative approach allows information that is important to the research to be elaborated. It ensures the exploring of the topic of interest using different sources of information (Baxter & Jack 2008). The view, experiences and beliefs on the research subject is explored and gives a deeper understanding of the research area through the interaction with the participants by the researcher (Creswell 2013).

This approach allows the researcher to interact with the participants as the participants are giving the information necessary for the research (Baxter & Jack 2008). The close interaction between the researcher and the research participants allows the researcher to actively participate with the participants as they give their reality views and further allows the researcher to understand the research participants (Baxter & Jack 2008).

When applied properly, qualitative research becomes a valuable method to explore individuals or institutions through complex interventions, interactions or activities. The process is inductive and as such, it allows the researcher to collect meaningful information within the research context (Yin 2003).

Methods used to collect data in qualitative research include the following: focus groups, individual semi-structured or unstructured interviews using open-ended questions so that the

participants express their experiences, and observations (DeFranco 2011: Online). The interaction with the participants enables the researcher to verify the information with informants and sources of information.

5.4.2 Quantitative approach

The quantitative approach tests objectives theories by examining the relationship that exists among the variables which can be measured using instruments, analysing data using statistical procedures (Creswell 2013). The quantitative approach is concerned with quantities and numerical form and lends itself to statistical analysis that is useful in testing (Watkins 2006).

The quantitative approach enabled the researcher to produce statistical data reflecting how many residents from the selected sample, were supportive of an enabling approach as an effective way of upgrading the informal settlements. According to Creswell (2014), this approach enables the researcher to quantify the numerical data which can be generalised. Furthermore, the findings on how the current processes of upgrading informal settlements with reference to Misisi Compound can be improved and can be replicated to other informal settlements in the larger population within Lusaka.

Data collection methods in this approach are more structured than methods used in the collection of qualitative data. Quantitative data collection methods include; different types of surveys such as paper surveys, face-to-face structured interviews (closed-ended questions) and systematic observations (Creswell 2013; DeFranco 2011).

In addressing how the current processes of upgrading informal settlements in Lusaka can be improved, with reference to Misisi Compound, the quantitative approach was followed, assisted in reaching a holistic understanding of the phenomenon being studied and how enabling approaches could contribute to the effective upgrading of Misisi, and informal settlements in general (Abawi 2008).

5.5 RESEARCH METHODS

These are ways, procedures, techniques and forms used to collect, analyse and interpret the collected information (Crotty 1998). Multiple forms of data were collected for this study, including observational, interview and document data. The researcher was able to understand the subject matter using the collected information which helped to answer the research questions, while making generalisations regarding the upgrading of informal settlements in Lusaka.

To ultimately obtain answers to the research questions, all of the following was executed:

- Literature review and synthesis of key existing research findings to provide contextual information.
- A review of prevailing legislation pertaining to the upgrading of informal settlements in Zambia.
- Interviews based on qualitative questionnaires, with the municipal authorities, community NGOs, the MLG and the Ministry of Housing and Infrastructure Development (MHID).
- A quantitative survey involving the residents of Misisi Compound to determine their needs, priorities, engagement potential and experience of current policies.
- Observational studies, including photographs.

5.5.1 Data collection methods

Research design includes the methods for collecting data. The use of the appropriate methods enhances the research study (Sekaran & Bougie 2010). To answer the research question, qualitative and quantitative methods were used to collect information.

5.5.2 Sources of data

This research utilised two main sources of data which will be discussed namely: primary and secondary sources (Kumar 1999).

□ Primary sources of data

Refers to the information the researcher obtained first hand for use in the study (Sekaran & Bougie 2010). Information can be obtained from individuals when interviewed, administering questionnaires, or observed. Primary sources of data included the following:

- First-hand interviews with the municipal authorities, community NGOs, the MLG and MHID and sampled residents of Misisi Compound.
- Administered questionnaires.
- Observation studies in Misisi Compound.

□ Secondary sources of data

This is the information in existence and collected by someone else who is not the research to the current study. This information exists as in the form of company records,

government publication, websites and journals. This source of information is useful to the research and helps to solve the problem mostly qualitative in nature. Its advantage is that it saves the researcher time and money to access the information (Sekaran & Bougie 2010). They include the following:

- Government legislation and publications.
- Newspapers, archival records and websites.
- Academic books and academic and professional journals.
- Seminar papers and conference proceedings.

5.5.3 Types of data collection procedures

❑ Interviews

Interviewing respondents to obtain information on issues of interest is one useful method of collecting data. Interviews may be unstructured (open-ended) or structured (closed-ended) and conducted face-to-face, by telephone, or online (Sekaran & Bougie 2010). The information obtained during the interview should be as free as possible of errors or inaccuracies in the data collected.

Face-to-face interviews offer an opportunity for the researcher to create a bonding with the participant thereby creating an environment to discuss difficult subjects of the research in a relaxed manner (Creswell 2014). The interview is conducted at the convenience of both parties allowing the researcher to adjust the questions when necessary in order for the participant to understand them and give back correct information.

❑ Official records and documentation

According to Bailey (2007), official records and documentation methods are useful to help the research have background information and have understand the gap in existing literature which the current research will fill. Secondary data are indispensable for research studies as they provide much information for research and are mostly qualitative in nature. Data from official records and documents helps the researcher to save time and financial resources in accessing them. Secondary data has been used in this current study to review existing literature in the form of journal publications, academic documents, conference papers and various official government publications.

❑ **Participant observation**

According to Johnston et al. (2000), the research becomes part of the participant within the context of the research setting observing the dynamics in the setting of the interested study. The information collected is reliable as the researcher has the first-hand experience of the research setting activities. This is an important aspect of participant observation and it helps the research to have a deep understanding of the social activities in the research setting (Kearns 2010).

5.5.4 Data analysis

The research study was descriptive and analytical in nature and as such the qualitative method was ideal to get to understand the feelings and views of the participants (Silverman 2001). Qualitative method was employed as the primary method in analysing the data, supplemented by quantitative methodologies which was employed to collect data from sections of the sample in the area (Payne 2001).

Information collected in the form of interview notes, transcripts of focus groups, news articles, journal articles and government publications, was analysed in order to make valid inferences from all the data collected. Quantitative data was analysed using systematic tools, and processes was conducted to derive results from the data. Three data stages (Miles & Huberman 1994) of data analysis are discussed.

❑ **Data reduction**

Large amounts of information collected is reduced in a process where data is selected, coded and categorised. Coding was used to reduce the data, rearranged and integrated to form a theory that meaningfully contributed to reach a conclusion about the data collected.

❑ **Data display**

Data display refers to the way in which data is presented such as graphs and charts. Data display involves taking the data that was reduced and display it in an organised, condensed manner by using charts, diagrams and frequently mentioned phrases.

❑ **Drawing conclusions**

Conclusions are drawn to the analysis process by answering the research questions through comparing or contrasting the observed relationships in the research field (Sekaran & Bougie 2010).

5.5.5 Data interpretation

Making an interpretation of the findings or results was the final step in the data analysis. Lessons learnt from the research study together with the theories in the literature in understanding the research problem in the study were highlighted. These interpretations guided the assumption of enabling approaches to succeed in the upgrading of informal settlements.

5.6 RESEARCH POPULATION AND SAMPLE SIZE

The target population for the purpose of the study was residents of a limited and specifically selected area of Misisi Compound from where the sample for the study was drawn. The sample size was supplemented from among the identified primary stakeholders. The sample size was selected on the basis that they could provide information which is correct and relevant to solve the problem identified in the research study (Sekaran & Bougie 2010). This enabled the researcher to draw conclusions that were generalisable to the target population.

5.6.1 Sampling methodology

Purposive sampling and simple random sampling methods were employed in order for the researcher to obtain specific information from specific target stakeholders who were regarded as custodians of the specific information sought and information regarding characteristics being investigated in the population and likely available from the sample. Simple random sampling also presented an opportunity for selecting participants for the study (Sekaran & Bougie 2010).

The simple sampling methods enabled the researcher to study the sample and generalise the results obtained to the population of Misisi Compound where the population was identified and defined. The field study was then conducted after the desired sample size was determined and the actual sample units selected. Furthermore, this method enabled the researcher to have a representative sample which resembled the population of Misisi Compound, with every member of the population having a chance of being selected to participate in the survey. The simple random sampling method enabled the researcher to reduce the time and cost for the research, while obtaining a representative result of the population. The participants were easy to reach and they were chosen as they were assumed to be the representatives and have the attributes of the population.

5.7 SELECTION OF STUDY PARTICIPANTS

According to Leedy and Ormrod (2010), research depends on interviews with carefully selected participants who are believed to have a direct experience with the subject been researched in the study. Samples in qualitative research are chosen in a manner known as purposive sampling with the specific study units selected with the purpose of yielding the most relevant and plentiful data of the study (Yin 2003).

5.7.1 Quantitative study participants

The selection criteria of local participants was on the assumption that the selected participants could give their experiences in the upgrading process in their community and how engaged they were in the upgrading of their area. In addition, the participants informed how they desired to be engaged in the upgrading processes of their area. Selected participants included local residents and leaders of the Residents Development Committee.

5.7.2 Qualitative study participants

The views sort from the institutional informants involved understanding what they say is the constitution of informal settlements upgrading in Zambia and to what extent enablement approaches can be followed in the upgrading of informal settlements. The institutional participants selected included the state and non-state participants. The state participants are those involved with formulating and implementing government policies in local government and housing.

These institutional participants included the MLG, MHID, LCC and the Residents Development Committee. The selected non-state participants included UN-Habitat for Humanity, Civic Forum on Housing and Habitat, Zambia Land Alliance and People's Process on Housing and Poverty in Zambia.

5.8 VALIDITY AND RELIABILITY OF RESULTS

Validity is defined as the extent to which the interpretation of the collected data is correct, and the way the interpretation was used in a good manner (Moskal & Leydens 2002). Reliability is defined as how consistent the results are when the experiment is conducted under the same methodological conditions over time (Joppe 2000). Reliability refers to the accurate representation of the total population under study and that the results are repeatable

with the use of the same research instrument when the research is conducted more than once (Charles 1995; Salkind 1997).

In this study, the researcher ensured the consistency of the questionnaire which ensured that should the same study be undertaken with a similar methodology, the same results would be obtained over and over, meaning that the results are repeatable. The researcher undertook the following steps to ensure the validity and reliability of the research study: The research data collection techniques was repeatedly refined in order to enhance the reliability of the research. The researcher ensured that the research conducted was for what was intended to be researched, and by so doing, the results of the research reflected what was intended to be researched in this study (Golafshani 2003). Furthermore, the researcher minimised his biasness in the study by spending enough time in the field during the data collection exercise. The researcher employed various methods such as observation and interviews in the research in order to ensure the validity of the research study (Johnson 1997). To ensure reliability and validity in the research study, the researcher familiarised himself with the problem of the research study, and the information collected was put in the form of numbers which was quantified.

5.9 ETHICAL CONSIDERATIONS

The research adhered to ethical norms which support the aims of the research such as contributing to knowledge and reducing the error in the research study (Shamoo & Resnik 2015). The research was conducted with full compliance with research ethical norms established in the codes and practices of the University of the Free State.

The research involved human participants, including face-to-face interviews with households (the quantitative research) and officials from local authorities, relevant line ministries and Ward Development Committee members (the qualitative research). The principal interviewer took careful consideration to explain to the participants in detail what the research was about and every participant was given an information sheet outlining why the research was been conducted.

The information sheet also stipulated who was undertaking and financing the study and how the study would be disseminated and used. The information sheet included contact details should the participant decide to withdraw participation at any point. The information sheet also explained how anonymity and confidentiality would be afforded and it was anticipated

that English would be the *lingua franca*. Participation in the research was voluntary. It was anticipated that verbal, as opposed to signed consent, would be readily available.

The participants' information sheet details are listed below:

- Title of the study.
- What the study is and my details as the researcher.
- How the participant will take part in the study.
- Reasons the participants have been chosen.
- Outlining of risks and benefits of taking part in the survey.
- Assurance of confidentiality in their participation.
- The mode of collecting the information they provide.
- What will be done to the result findings?
- The contact details for further clarification and information.
- Acknowledging and thanking them for their participation.

5.10 CONCLUSION

Chapter 5 documented the research methodology that was followed. It further justified the adoption of the case study methodology. The main data collection instrument employed was semi-structured interviews for qualitative questionnaires, while the quantitative questionnaires were conducted by means of structured interviews, complemented by documentary evidence such as journals, government publications and academic articles. The chapter also highlighted the adherence to ethical considerations in the way the research was conducted.

Chapter 6

RESEARCH FINDINGS, PRESENTATION AND DISCUSSION OF RESULTS

6.1 INTRODUCTION

The purpose of this chapter is to present the research findings of the study obtained from qualitative and quantitative study questionnaires, as undertaken in Chapter 4. Findings are presented from the case study which reveal experiences and review the responses from the face-to-face interviews conducted.

6.2 RESEARCH STUDY MATRIX

The matrix table as a tool was designed to align the research questions and sub-questions aligned with the research methodology as shown in Table 6.1.

Table 6.1 Alignment of survey questions and research methodology

Research question	Aim of the study	Research methodology
How can the current processes of upgrading informal settlements in Lusaka be improved with reference to Misisi Compound?	The main aim of the study was to improve the current process of informal settlement upgrading for Misisi Compound in Lusaka, Zambia	Mixed methods research approach which involves collecting both qualitative and quantitative data
Research sub-questions	Objectives	Answers achieved by
1. What constitutes upgrading of informal settlements in the Zambian and Lusaka context?	To understand what constitutes the upgrading of informal settlements in the Zambian and Lusaka context	<ul style="list-style-type: none"> • Literature review of prevailing legislation pertaining to the upgrading of informal settlements in Zambia • Qualitative questionnaire (with institutional participants) • Quantitative questionnaire with the residents
2. How are the processes experienced by the subjected residents?	To determine how residents in Misisi experience upgrading processes in their residential area	<ul style="list-style-type: none"> • Literature review • Quantitative questionnaire • Interviews • Observations

Research sub-questions	Objectives	Answers achieved by
3. What involvement is there from the side of the residents and how they want to be identified?	To learn from the residents how engaged they are in the upgrading of their area	<ul style="list-style-type: none"> • Quantitative questionnaire • Qualitative questionnaire • Interviews • Observations
4. What support/involvement from the municipality/central government would enhance the upgrading of the informal settlement, according to the residents?	To learn how the municipality or central government support enhances the upgrading of Misisi Compound according to the residents	<ul style="list-style-type: none"> • Quantitative questionnaire • Qualitative questionnaire • Interviews • Observations studies
5. To what extent can enablement approaches be followed in the upgrading of informal settlements and Misisi Compound in particular?	To assess the likeness of enablement processes succeeding in Misisi Compound	<ul style="list-style-type: none"> • Literature review • Qualitative questionnaire • Quantitative questionnaire

Source: Author's own (2019)

6.3 QUALITATIVE PRESENTATION

Semi-structured questionnaires were used to conduct interviews with officials from the municipal authority, community NGOs involved in human settlements, the MLG, the MHID and the NHA. These selected institutions work directly with the upgrading of informal settlement programmes in Lusaka. They hold relevant and valuable experience and information required in this study.

A list of eleven respondents were identified as the sample for the purpose of the qualitative survey (Appendix 2). Only eight were available to respond to the questionnaire interview, representing a 72% response rate to the qualitative survey.

Table 6.2 Exploratory survey

Selected number of respondents	Interviewed respondents	Response rate
11	8	72%

Source: Field survey

6.3.1 What constitutes upgrading of informal settlements in Lusaka?

Six out of eight respondents, representing 72% of the respondents, indicated that replanning of the informal settlement, provision of basic services such as the supply of piped water, electricity and the grading of roads would constitute the upgrading of informal settlements. Only two of the eight respondents, representing 25% of the respondents, indicated the

provision of ownership document to the residents of the informal settlements, together with other basic services would constitute the upgrading of informal settlements in Lusaka.

The findings show that the responses were based on what role their institution played in the upgrading of informal settlements. Furthermore, the findings support the literature that the facilitators of upgrading programmes may not be the ones to best identify the priority areas to be upgraded in the upgrading programme (Hamdi 2014). The findings also support the literature that good upgrading of informal settlements should include improvements to existing housing and infrastructure (Huchzermeyer 2009). The findings are further supported by their indication on what they considered as the key areas of upgrading the settlement as opposed to what the residents themselves prioritised in the upgrading of their settlements and the issuance of ownership documentation to their parcels of land.

6.3.2 Ways in which upgrading of informal settlements benefit the residents

Five out of eight respondents, representing 63%, indicated that the upgrading of informal settlements ensures that the residents have improved housing with related services. Three out of eight respondents indicated that there would be a security of tenure on the part of the residents, coupled with improved elements of housing for the improvement of the residents' livelihoods.

The findings indicate that the informal settlement upgrading programmes are beneficial to the residents, their community and the improvement of their livelihoods, while ensuring that their environment is safe for habitation (Abbott 2002).

6.3.3 How is the community consulted and engaged during the upgrading of the informal settlement?

Two out of eight respondents, representing 25%, indicated that they consult the community through community public meetings, while three respondents, representing 38%, indicated that they consult the community through meetings arranged by the elected local leaders. The other three respondents, representing 38%, indicated that they engage the community through both the public meetings and through their representatives.

The findings indicate that the facilitators of the upgrading programmes use different methods to engage the community. These consultative meetings are voluntary and as such not everyone may be willing to attend. Furthermore, the method of only engaging the community through their leaders may result in the information not reaching most of the community

members, thereby depriving some community members who may be represented and willing, but not given an opportunity to participate in the upgrading process. If the upgrading process limits the inclusion of the community members, the upgrading programme will lack the prioritisation by the community of which areas to be upgraded (Turner 1976).

6.3.4 Advantages of engaging the community in the upgrading of informal settlements

All eight respondents, representing 100% of the respondents, indicated that it was to the advantage of the upgrading programme when the community members are engaged in the upgrading of the informal settlements. Three out of eight respondents, representing 38%, indicated that engaging the community in the upgrading programme would ensure that the community accept and embrace the upgrading project as their own, thereby preserving the project and ensuring sustainability in the absence of the facilitators. Five out of eight respondents, representing 62%, indicated that the community have solutions to most of their challenges; hence, their engagement during the upgrading of their community would help to easily find the solutions to the challenges of the upgrading programme.

The findings indicate that the engagement of the community in the upgrading of the informal settlement adds value to the programme. Furthermore, the indication is that the residents of the community are viewed the contribution of the key stakeholders as playing a positive role to achieve the objectives of the upgrading programme. These findings support the literature that the community's contribution to solutions is a cost-effective and sustainable way of upgrading informal settlements (Lizarralde & Massyn 2008; World Bank 2002).

6.3.5 What support from the institution would enhance the upgrading of informal settlements?

Four out of eight, representing 50% of the respondents, indicated that linking the technocrats to the community in various skills and techniques would ensure that the capacity of the community is built to manage the upgrading programmes. Furthermore, the respondents indicated the need for promoting accountability and transparency in order to promote citizen's participation in upgrading programmes. The other four out of eight, representing 50%, indicated that the communities should be financially empowered so that they can implement the upgrading programmes which they themselves feel are their priority.

The findings indicate that the institutions do contribute to the success of the upgrading of the settlement by providing the community with the necessary skills to undertake and sustain the

upgrading programme. Furthermore, these findings support the literature that the role of the established organisations is to facilitate for the financial and technical skills to support the community in the upgrading of the informal settlements (Srinivas 1991).

6.4 QUANTITATIVE PRESENTATION

An exploratory survey with face-to-face interviews was conducted using a quantitative survey involving the residents of Misisi Compound to determine their needs, priorities, engagement potential and experience of current policies in the upgrading of Misisi Compound (Appendix 1). Though a purposive sampling method was used, this sample size constituted a relevant range in relation to a wider theoretical universe in the informal settlements upgrading programmes. The researcher interviewed 110 respondents, 47 of whom were women and 63 were men. The questionnaire was administered in English and interpreted in the local language for easy understanding for those not fluent in the English language.

6.4.1 Gender of respondents

There were 110 respondents in the sample, 47 of whom were women representing 43% of the respondents, and 63 were men, which represented 57% of the respondents. Figure 6.1 shows the numbers by gender of respondents.

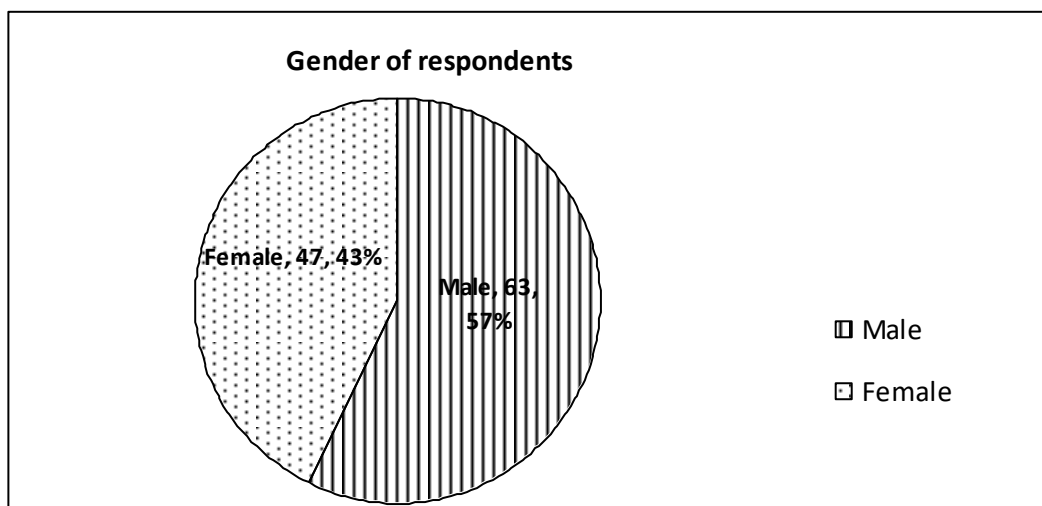


Figure 6.1 Gender of respondents

Source: Field survey

This represents the male/female split in Misisi Compound, thereby serving as a representative sample size. Since the researcher conducted the research during weekends, mostly men were found at home. Men are involved with various economic activities during the week. These are

also the people with valuable information relevant to this research and they did express what they viewed on the development of their community.

6.4.2 Age groups of respondents

Only 4% of the respondents were men of above 60 years old, while 6% of the respondents were females in the same age group. In the 50–59 age group, 5% of the respondents were males, with 8% females in the same age group. Only 14% male respondents and 10% female respondents were in the 40–49 age group; 22% male respondents and 11% female respondents were in the age group of 31–39, and 13% male respondents and 8% female respondents were under the age of 30 years old. Figure 6.2 shows the respondents’ age groups.

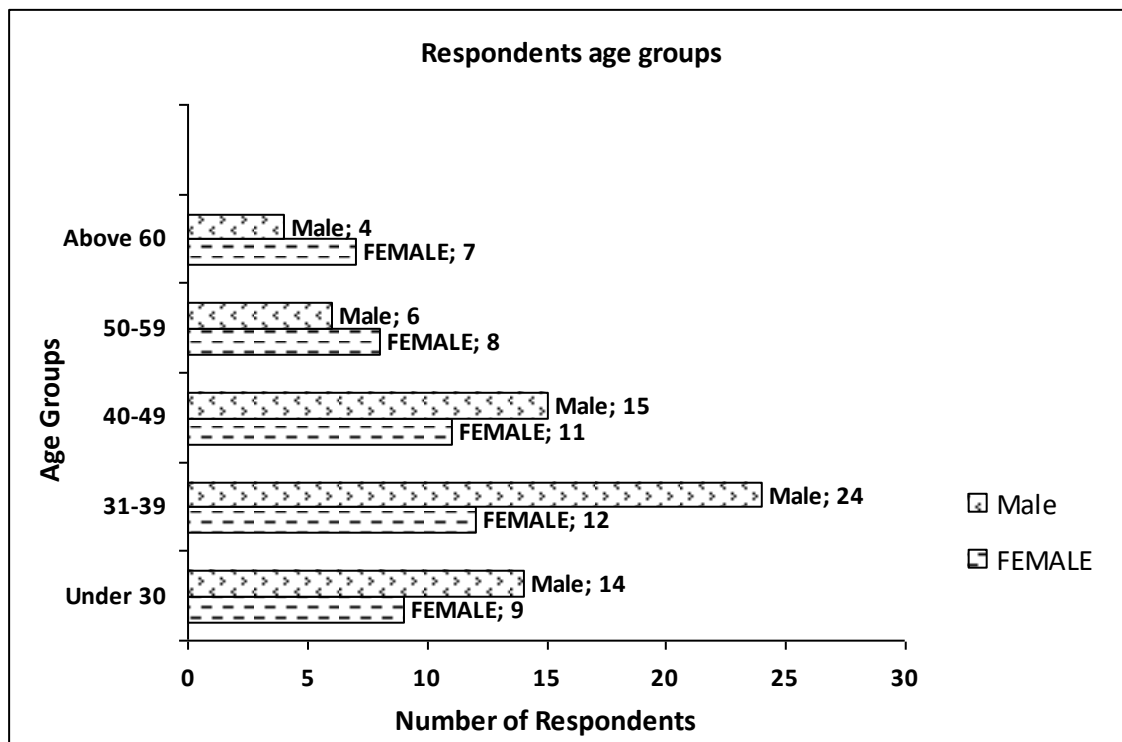


Figure 6.2 Respondents age groups

Source: Field survey

The age groups of the respondents indicated that there were both more males and females in the middle age groups. This finding corresponds with the researcher’s field observations. These were the active age groups who were also owners of the homes and were available to participate in any upgrading programmes of their community. The findings indicated that at least 57% of both the male and female respondents were presumably of an age where they

were economically active. These findings support the literature that the informal settlements are a source of cheaper labour for the industries in the cities (Turner 1969).

Though this active age group of respondents earned an income during the week which would help them finance the construction of their houses with the availability of advice and technical support, they might not have had the energy to engage in the building of their houses during the weekend. Furthermore, of importance to note is that they have built whatever houses they had and because of their age, they would probably be able to further engage in such processes. Their desire for the development of their community reflected their quest for a better community for themselves and their families.

6.4.3 Occupation and skills

In this category, 42% of the respondents indicated they were traders involved in trading various goods and services; 33% indicated that they had a trade in either bricklaying, tiler/steel, fixing plumbing, electrical, hairdressing or tailoring; 15% indicated they were employed in various domestic-related work, while only 10% of the respondents indicated that they were either employed as shop attendants, taxi and bus drivers and bus assistants. Figure 6.3 shows the occupation and skills of the respondents.

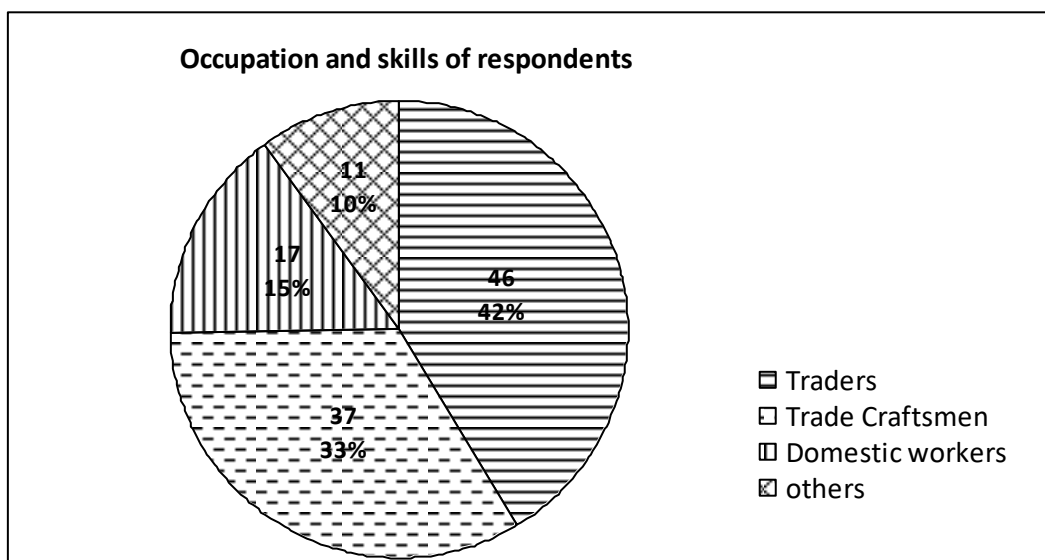


Figure 6.3 Occupation and skills of respondents

Source: Field survey

These findings indicated that there was a substantial skills base in Misisi Compound and they could find employment from the construction of both infrastructure and dwellings. Furthermore, the findings showed that the respondents were involved in various economic

activities through their occupations and that most of the residents were involved in the local Misisi economy although it was in the informal sector. This presented an opportunity to be harnessed, built on or developed within the enablement type paradigm.

Those who indicated that they were involved in various trading activities, but some of their businesses were small and their monthly income could barely sustain a family's basic requirements for a decent living. This situation would probably cause them to spend a substantial amount of time to build their own houses. Among the respondents who indicated that they had a trade, some were unemployed, while others were self-employed. These kinds of activities gave an indication to their levels of income which may not allow them to spend much on building material; however, facilitating the manufacturing of building material could support the upgrading of Misisi Compound. This justifies the literature for the residents to be supported with programmes for assistance during the process of improving their houses through self-help efforts (Harris 2001).

6.4.4 Occupants of the houses

Fifty-four percent of the respondents indicated they either owned the houses or were spouses of the owners of the houses. A quarter (25%) of the respondents indicated that they were tenants, while only 21% indicated that they were family members to the owner occupying the houses. The high percentage of 'homeowners' or people perceiving that they were homeowners, indicated they had sense of ownership despite it not being the case legally. This indeed already helps as people can improve their dwellings, which they already did, without fear of eviction or loss of their assets. These homeowners desired to have legal ownership of their properties which they have indicated as the primary step in the upgrading of their community. These homeowners understood the value and implications of ownership and its absence kind of filled them with fear of eviction. Figure 6.4 shows the type of occupants of houses by the respondents.

The field observation indicated that most of the respondents who indicated been tenants were renting an independent property with the landlord living within the community but at different property. Furthermore, the findings show that the enabling approaches have a high likeness of succeeding in the upgrading of the community as the majority of the residents who are homeowners, are the primary beneficiaries of the upgrading programmes.

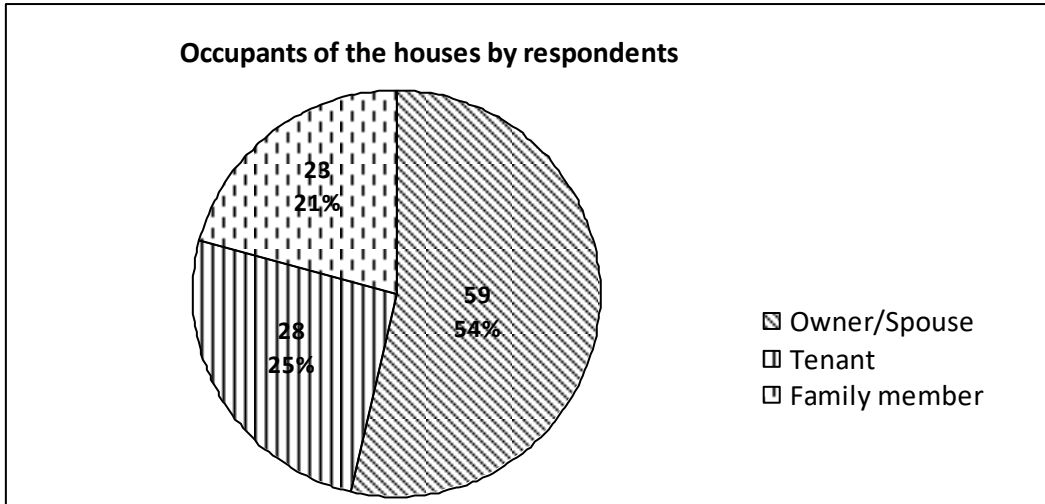


Figure 6.4 Occupants of the houses by respondents
 Source: Field survey

6.4.5 Ownership of houses

The houses they were staying in, were owned by 66% of the respondents, while the remaining of 34% of the respondents indicated that they were renting the houses.

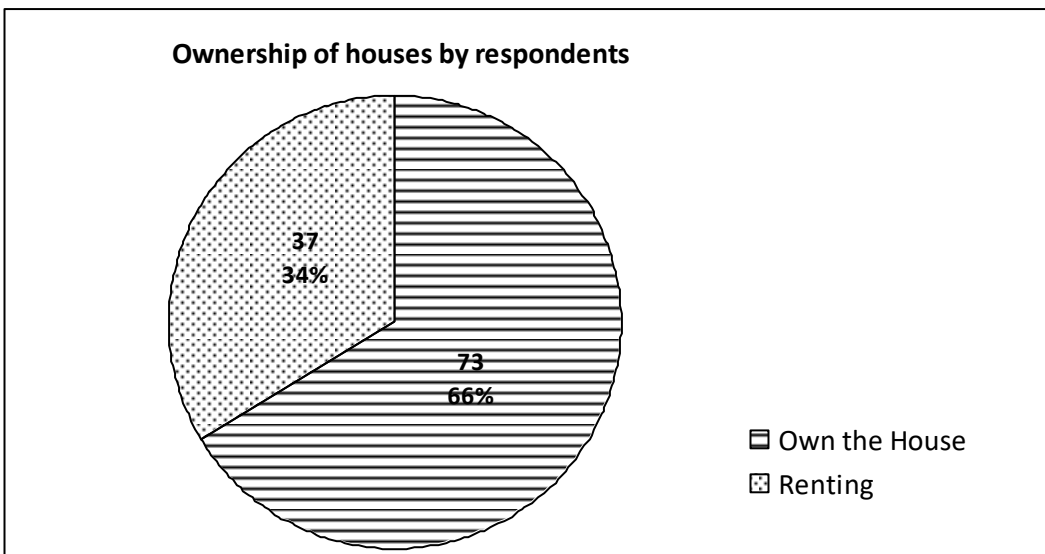


Figure 6.5 Ownership of houses
 Source: Field survey

The field observation indicated that the tenants were renting an independent house, while the landlord stayed at a different property within the community. All the respondents who indicated that they owned the houses, also indicated that they never received financial or building material assistance from either the city council, housing cooperatives or NGOs

during the construction of their houses. They indicated that they used their own financial resources from their earnings, business and family contributions.

The research findings indicated that at least 66% of the residents were prepared to invest in their dwelling houses, despite not legally owning it. This could be out of the need to provide for cheaper and affordable housing in the absence of the government's inability to provide the required houses. Furthermore, it was also an effort on their part to justify their investments and convince the authorities to legalise their statuses and settlement.

The findings show that most respondents in Misisi Compound are homeowners. Engaging these homeowners in the upgrading of the community will ensure ownership and sustainability of the projects. The findings support literature that residents desire improvements to their dwelling houses and the community they live in, by being provided with social services and amenities to improve their livelihoods (World Bank 2002).

The findings further support the literature that self-help contributes to the provision of housing and that the residents are able to provide shelter at their own pace and whenever they have financial and material resources. The residents have the skills and know-how of how to undertake certain activities which would be beneficial to the project, should they be involved. (Turner 1976). It, however, also confirmed that not all people may be able to engage in the provision or construction of their own houses even if an enabling environment is created, in which case they may be able to oversee or manage the building of their own houses should there be technical support and building materials readily available.

6.4.6 Type of ownership documentation

The majority (58%) of the respondents who indicated that they owned the houses, indicated having letters of sale from the former owner as proof of ownership to their houses, whereas 37% of the respondents indicated they had customary certificates from the local traditional leadership committee and were in the process of acquiring a certificate of title with the LCC, which the municipal authority issues to residents of the upgraded informal settlements. Only 5% of the respondents were not sure of having any proof of ownership documentation. Figure 6.6 shows the ownership and proof of documentation.

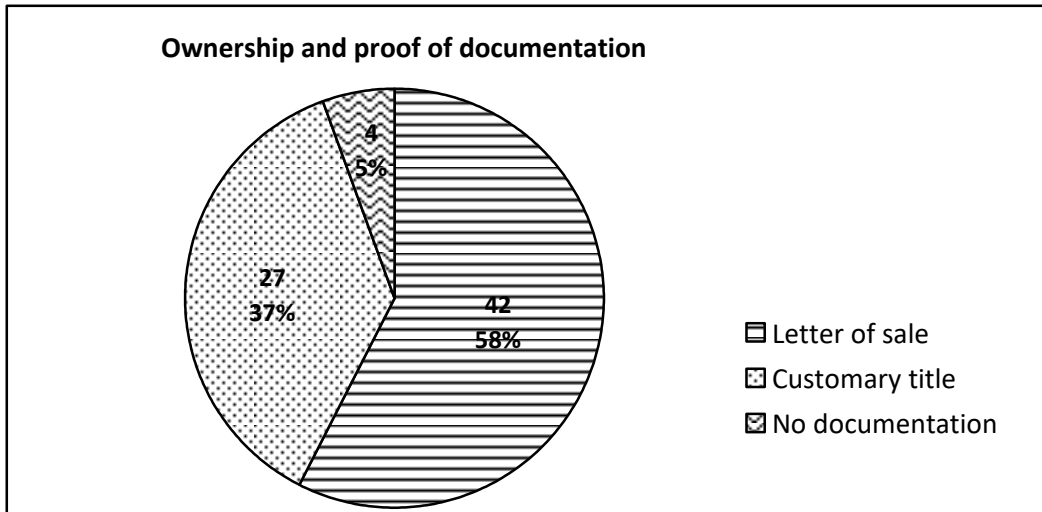


Figure 6.6 Ownership and proof of documentation

Source: Field survey

The findings support the literature that legal ownership to land supports the meaningful improvement to the informal settlement in the process of upgrading the informal settlement (Wekesa et al. 2011). Currently the residents did not have the documentation which they could legally use for the improvement of their houses if they intended to access building finances.

Furthermore, the findings show that support from municipal authorities through facilitating the issuance of the certificates of title enhances the upgrading of Misisi Compound. The municipal authority would enhance the upgrading of Misisi Compound by planning the settlement, demarcating parcels of land, numbering the plots and installing civil infrastructure and social amenities which is essentially the formalisation and upgrading of the informal settlement.

6.4.7 Prevailing rentals

Among the respondents who indicated that they were renting the houses they were living in, 27% paid ZMK 100 and less per month, while 35% of the respondents indicated they paid ZMK 100–150 per month. Only 24% of the respondents indicated they paid between ZMK 150 and ZMK 200 per month, while 14% of the respondents paid between ZMK 250 and ZMK 3 000 per month. Figure 6.7 shows the rentals paid by the respondents.

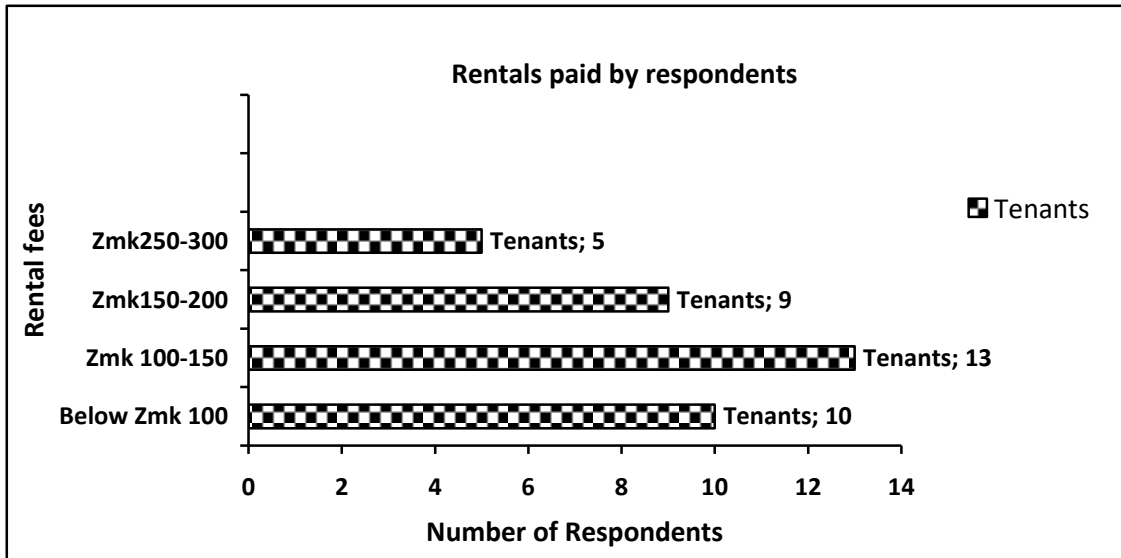


Figure 6.7 Rentals paid by tenants

Source: Field survey

The findings show that the rentals paid by tenants for accommodation were relative to the quality of accommodation offered. The accommodation type was very basic and, in some cases, not meeting the minimum standards for a decent accommodation. The rentals received by landlords is a source of income that would enable them to pay for the municipal services and the improvement of the property. These findings support the literature that informal settlement supplies the much needed accommodation to the poor masses who cannot afford decent accommodation (World Bank 2002).

The findings further show the positive aspect of informal settlements in supplementing the role of government in housing supply for the people in informal settlements, though these houses are unplanned and do not meet the minimum construction standards. This then creates an opportunity for the municipal authorities to relax the required minimum standards and provide technical support to the residents during the improvement process of their houses in order to accommodate their financial capabilities in their effort to create the much-needed housing in informal settlements.

6.4.8 Residents' priority areas in the upgrading of their community

The issuance of ownership documentation was indicated by 56% of the respondents as the priority in the upgrading of their community; 32% indicated the provision of piped water and sanitation facilities, while only 12% of the respondents indicated the provision of social and

public amenities as their priority area for the upgrading of their community. Figure 6.8 shows the residents' priority areas in the upgrading of the community.

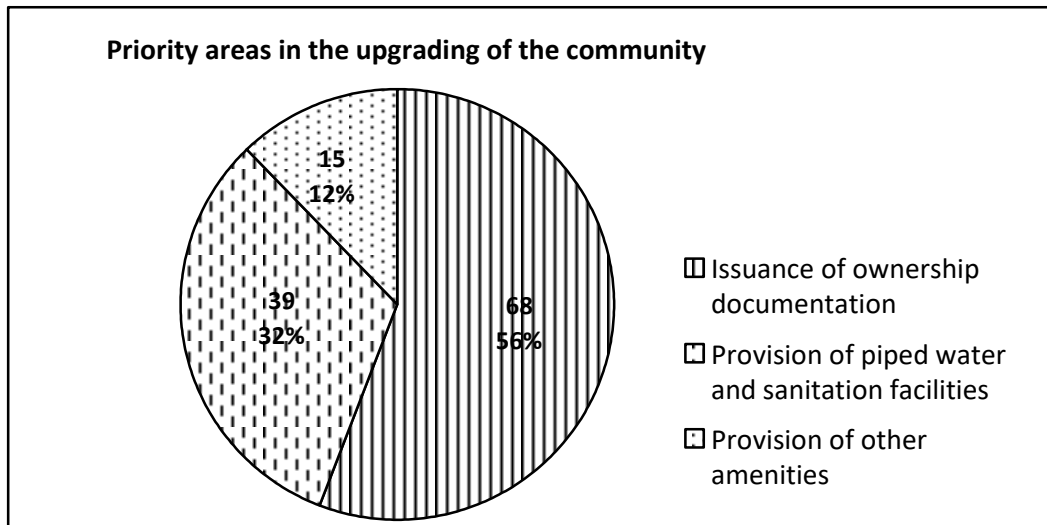


Figure 6.8 Priority areas in the upgrading of the community
Source: Field survey

The findings show that the residents' upgrading of informal settlements should include the issuance of legal documents to the parcel of land, the provision of toilets and piped water and sewer connections to their individual houses. The findings indicate a significance in that the residents accepted responsibility for their dwellings but would want the government, at whatever level, to assist in the provision of those elements of infrastructure and amenities which are of a communal nature and which they were not able to provide for themselves in any easy way.

6.4.9 Residents' perspective of the upgrading of Misisi Compound

Issuance of ownership documentation were indicated by 39% of the respondents as their perspective of the upgrading of their community. The same number (39%) of the respondents indicated the installation of water pipes, water points and communal taps, while 22% of the respondents indicated the provision of sanitation facilities as their perspective of the upgrading of their community. Figure 6.9 shows the respondents' perspective of upgrading of Misisi compound.

The findings indicate that the residents viewed the upgrading of their community with an improvement to their living environment. Security of tenure to their property was prominent in what the residents would regard as the upgrading of their community. The findings support the literature that informal settlements provide housing solutions and, as such, the residents

saw the provision of basic services and amenities as what would constitute the upgrading of their community (Kiddle 2010).

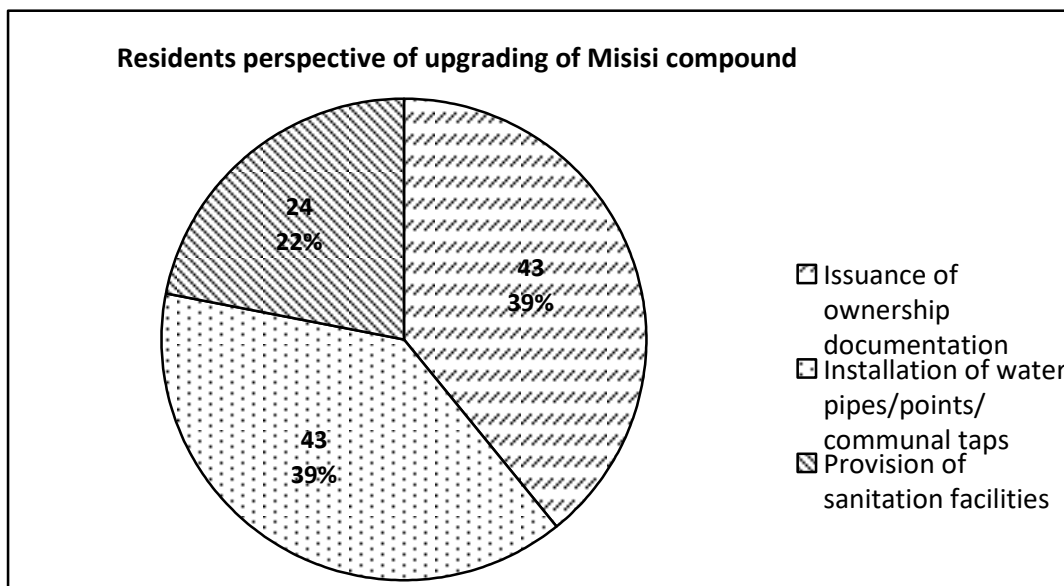


Figure 6.9 Residents’ perspective of upgrading of Misisi compound

Source: Field survey

Furthermore, the findings support the literature that the upgrading of informal settlements is meant to improvement the quality of life of the affected residents by providing security of tenure to their property, provision of piped water and sewerage connection, and other basic amenities (UN-Habitat 2003).

6.4.10 Residents’ experience of the upgrading process

About two thirds (66%) of the respondents indicated they were dissatisfied with their experiences of the upgrading processes employed by the municipal authority. A quarter (25%) of the respondents indicated they were satisfied, while 8% of the respondents indicated that they were not sure of their experiences with the upgrading processes employed by the municipal authority. Figure 6.10 shows the residents’ experiences of the upgrading process by the municipal authority.

The findings indicate that most residents were dissatisfied with their experiences of the upgrading processes employed by the municipal authority of their community. The residents desired to be part of the initiating and implementing processes, while the municipal authority facilitated the upgrading programme. The residents would be more satisfied with a full participation in the upgrading programme of their community. This calls for the municipal

authorities to improve the processes they employ to ensure an inclusive process with the full participation of the residents who are the primary beneficiaries of the upgrading programmes.

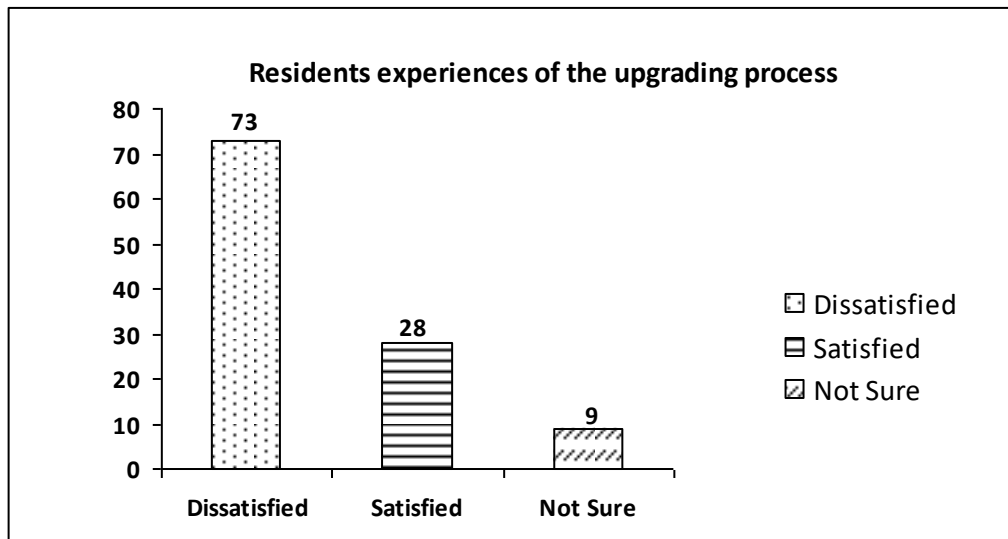


Figure 6.10 Residents experience on the upgrading process

Source: Field survey

The findings further indicate that the upgrading of their community should constitute the provision of piped water, sanitation facilities, grading of roads and the provision of social public amenities such as health facilities, schools and markets. To the residents, this is what they perceived, according to the findings, as the upgrading of their community. The residents' willingness to have such basic services and amenities show how they wish to be identified with the process of upgrading their community.

6.4.11 Municipal authority's employed processes in the upgrading of the community

The municipal authority's employed processes in the upgrading of their community were indicated by 57% of the respondents that the residents are allowed to participate in the actual works; 22% of the respondents indicated being represented by their leaders; 13% of the respondents indicated being invited to planning meetings, while only 8% of the respondents were not sure of the processes the municipal council employed in the upgrading of their community. Figure 6.11 shows the municipal authority's employed processes in the upgrading of the community.

The findings indicate that the municipal authority's most employed processes in the upgrading of the community was through the engagement of the residents in the execution of the actual work.

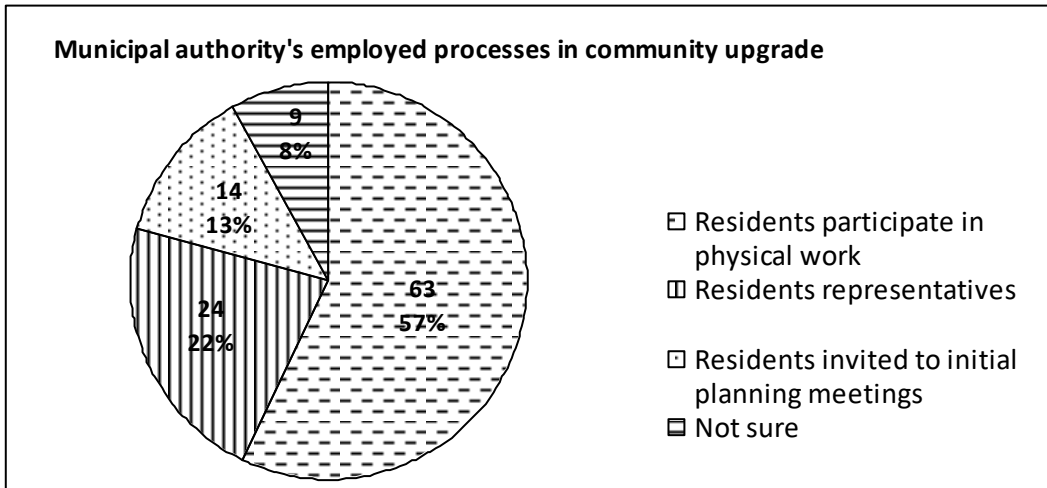


Figure 6.11 Municipal authority’s employed processes in community upgrade
 Source: Field survey

The findings further support the literature that it becomes a cheaper way of having the community as part of the labour force; engaging the community from the initial stages enables the residents to influence the decision-making process of the upgrading process. Furthermore, the residents of the community have other ways of how they solve their own problems. The residents have effective solutions which are different and not available to professional stakeholders (Srinivas 2005).

6.4.12 Community’s contribution during the upgrading process

A total of 46% of the respondents indicated that the community’s contribution during the upgrading process of their community was providing labour for the actual work for which they were paid, whereas 32% indicated that the community was engaged in the sensitisation of other residents. Only 15% of the respondents indicated that the community contributed through participation in the planning meetings, while only 8% of the respondents indicated that they only saw the upgrading processes taking place. Figure 6.12 shows the community’s contributions towards the upgrading process in their community.

The findings indicate that the residents’ contribution during the upgrading process was largely through the provision of labour for the work, sensitising the other community members about the upgrading projects. The residents’ participation did not reflect how the enabling approach to the upgrading of informal settlement should be where the residents should be part of the initiation process for the projects.

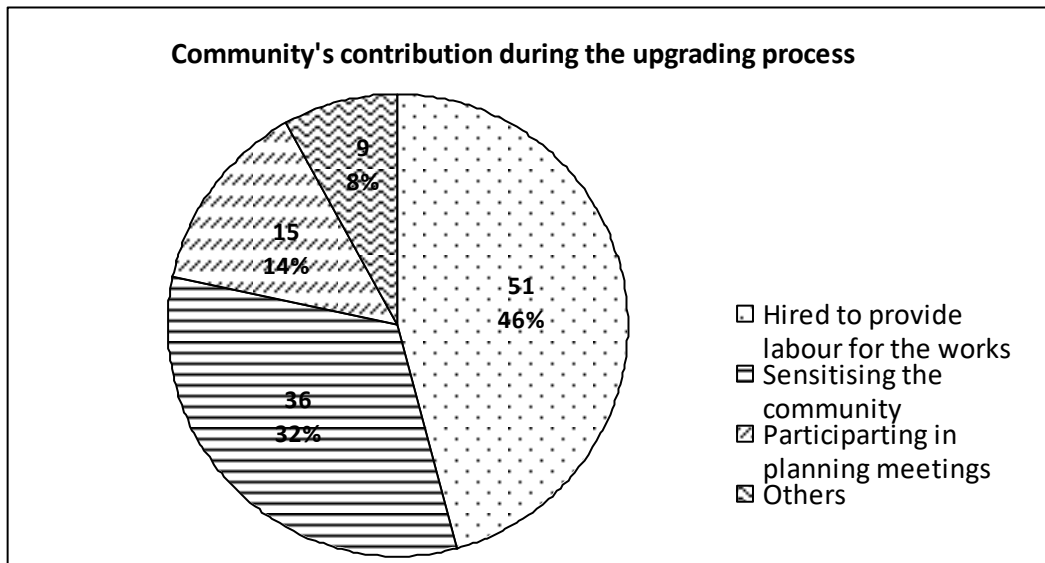


Figure 6.12 Community's contribution during the upgrading process

Source: Field survey

The findings support the literature that for enabling approaches to succeed, the implementing agencies for the projects should incorporate the participation of the residents from the initial stages so that the residents are given an opportunity to decide the road map for the projects as they are the ones who know best the priority areas for any upgrading programmes in their community.

6.4.13 How the residents want to be involved in the upgrading of their community

Residents would want to be involved in the upgrading of their community through participating in initial planning meetings, deciding where the upgrades start and which area should be upgraded as indicated by 38% of the respondents; whereas 35% indicated choosing the priority area for the upgrade. Only 17% indicated taking part in the actual work, while 10% of the respondents indicated sensitising others. Figure 6.13 shows how residents want to be involved in the upgrading of their community.

The findings indicate the residents' desire to be part of the upgrading processes in their community from the initial planning stages. While the municipal authorities did engage the representatives to facilitate the employing of the required labour from the community, the municipal authorities should incorporate the community from the initial planning meetings to enable the community to behave an initial input in the process.

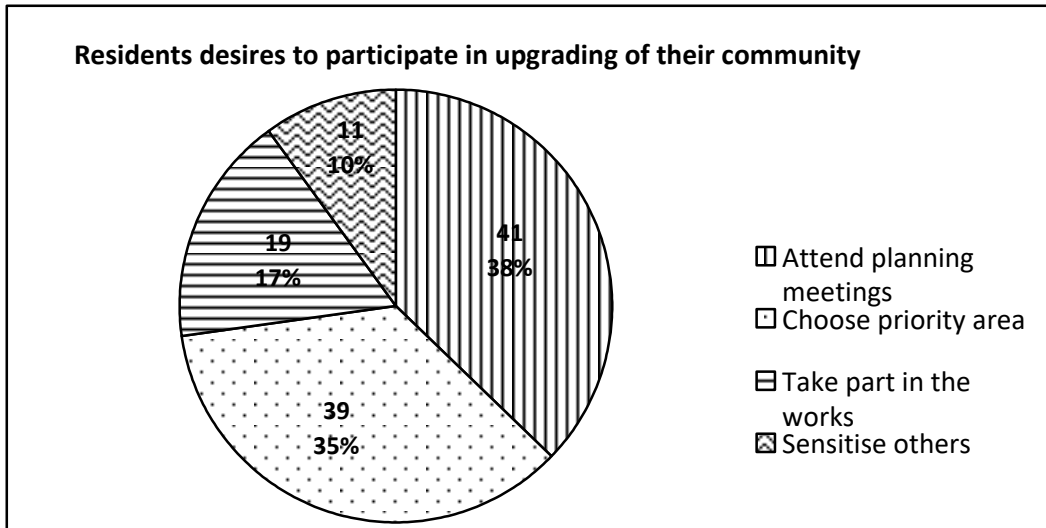


Figure 6.13 Residents desires to participate in upgrading their community

Source: Field survey

The findings support the literature that the willingness and desires of the residents to participate, indicate the presence of the primary requirement for the success of an enabling approach to the upgrading of the community as it has an inclination towards participatory interventions (Hamdi 2014). The willingness by the community to be part of the process allows for the community-driven process in the upgrading of their community. The community participation will ensure sharing of responsibilities, bringing about partnerships which are key for the successful implementation of the upgrading projects (Turner 1976).

6.4.14 How the residents finance the construction of their houses

The majority (75%) of respondents who own the houses and family members to the owners of the houses, indicated that the houses were constructed through self-financing, while 25% of the respondents were not sure how the houses were financed. Figure 6.14 shows the financing of the residents' houses.

The findings showed that most residents financed the construction of their houses in the absence of any external support. The lack of any legal of tenure documentation which can be used to secure funding for construction purposes contributed to their inability to access any available funding.

The findings further support the literature of incremental approaches in the upgrading of informal settlements as the residents construct houses at their own pace with their own resources. This process of construction allows the residents to build when they have access to

resources and it allows for gradual development of a project (Turner 1976; UN-Habitat 2003).

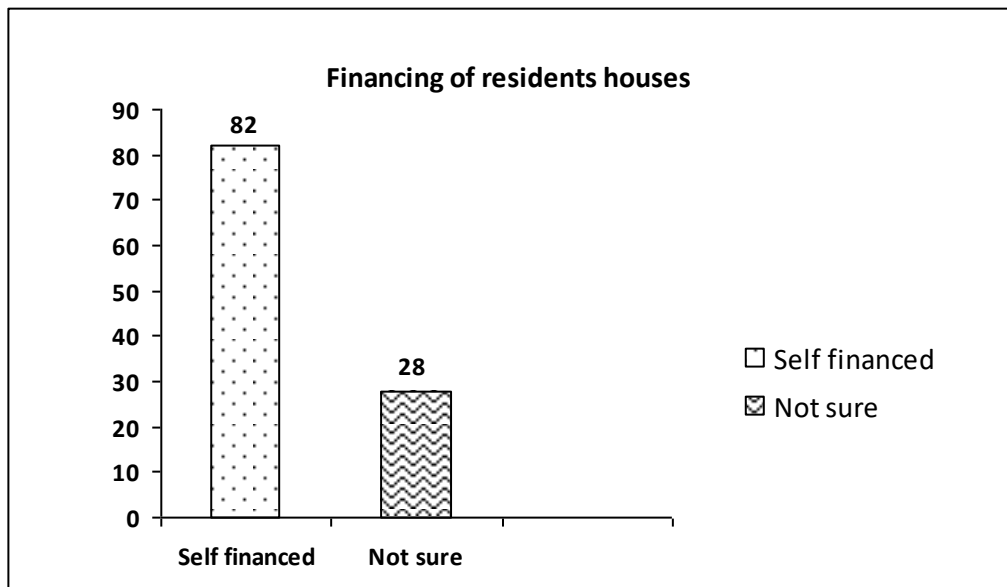


Figure 6.14 Financing of residents' houses

Source: Field survey

This gives an indication that the likeliness for the enabling approaches succeeding in Misisi Compound is high as the residents are able to drive the process in which they themselves are the beneficiaries. This then calls for the municipal authority to facilitate for institutional support, legal title and attendant services.

6.4.15 Building materials used to construct the houses

Burnt bricks for the construction walls of their houses were used by 52% of the respondents; 29% of the respondents indicated using mud bricks; 11% of the respondents indicated that they used concrete blocks, while only 8% of the respondents indicated that they used stones to build the walls of their houses. Figure 6.15 shows the building material types used by respondents.

The findings indicate that most of the homes are built of burnt bricks which is a cheaper material as compared to the cost of concrete. This shows the levels of the residents' ability to mobilise material resources for the construction of their homes. Furthermore, it agrees with the literature that self-help in the construction of houses enables the families to reduce construction costs (Turner 1976). Furthermore, the families contribute their own labour and

use building material that is relatively cheap, which shows their ability to contribute towards an enabling approach in the upgrading of the informal settlement.

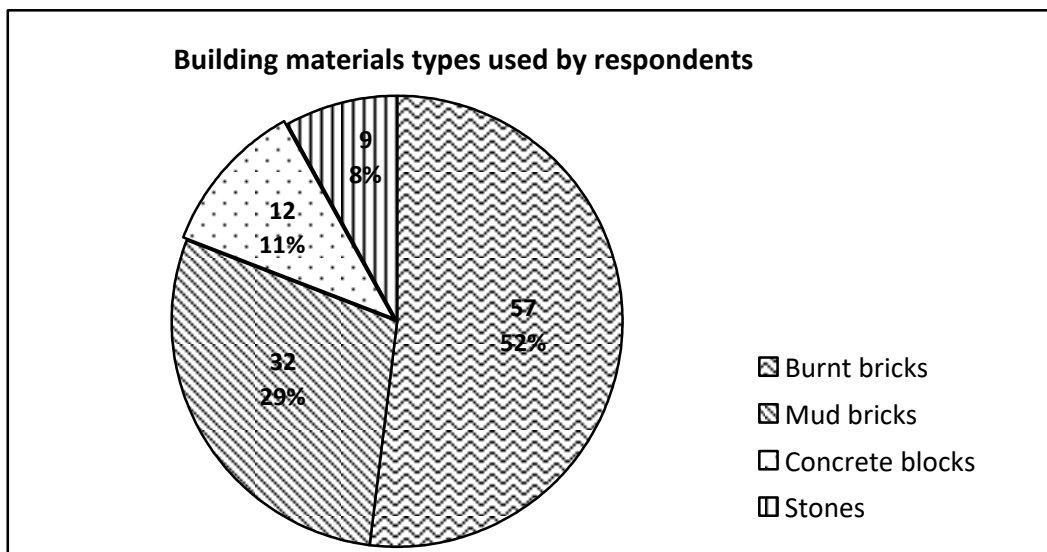


Figure 6.15 Building material types used to build houses

Source: Field survey

The municipal planning authorities would do well in facilitating the training of residents in different artisan skills such as plumbing, carpentry and bricklaying and techniques in the use of local building material to reduce on the costs for conventional material. The material used by the residents to build their houses are permanent in nature. This allows for the retaining of these houses when the planning occurs in the upgrading of the informal settlement.

6.4.16 House roof construction

Forty percent of the respondents indicated that they used thatch and plastic materials for the roofs of their houses; 35% indicated that they used thatch only, while 25% of the respondents indicated that they used iron sheets for the roofs of their houses. Figure 6.16 shows the roofing materials used by the respondents.

The findings indicate that most of the homes are built of thatch and plastic which are cheaper material compared to the cost of the iron sheets. Despite thatch been a cheaper roofing material, it is more environmentally friendly and sustainable. It also makes for more liveable houses although it requires regular maintenance.

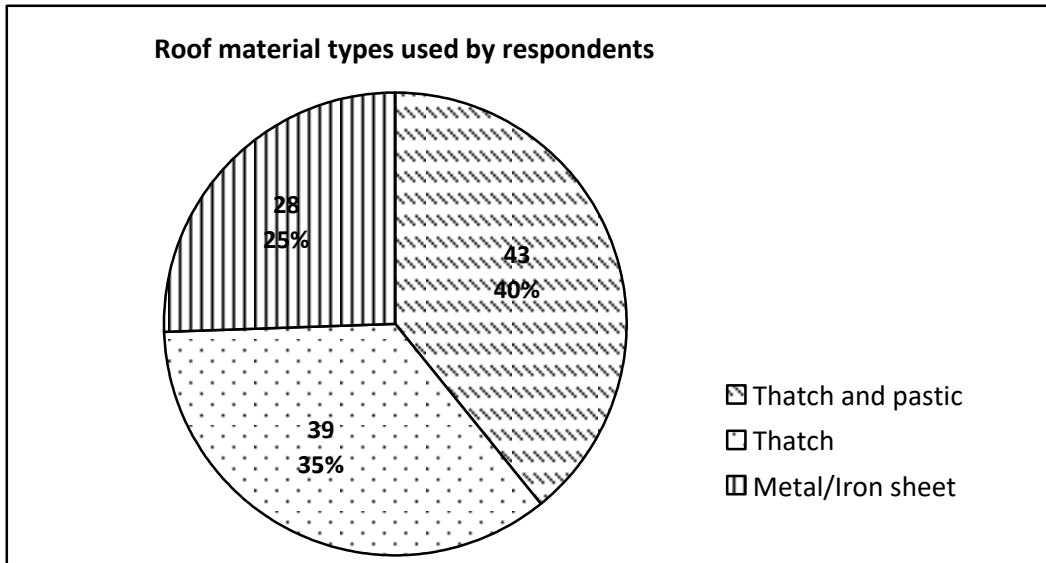


Figure 6.16 Roofing materials used by respondents

Source: Field survey

The findings further show the levels of the residents’ ability to mobilise material resources for the construction of their homes. Furthermore, the findings support the literature that the use of self-help in the construction of houses enables the families to reduce the construction costs as the families contribute their own labour and use building material that are relatively cheap which shows their ability to contribute towards an enabling approach in the upgrading of the informal settlement (Crane 1944; 1949).

6.4.17 Water and sanitation

Thirty-eight percent of the respondents indicated the well as their main source of drinking water; 33% of the respondents indicated that it was a communal tap; 18% of the respondents indicated that it was a secured borehole, while 11% of the respondents indicated that their main source for drinking water was a water vendor. Figure 6.17 shows the respondents’ main source of drinking water.

The respondents also had access to other water sources such as the communal taps which could be at a distance of 150 m to 200 m from their houses.

The findings showed that the majority of the respondents depended on a well as their main source of drinking water. The provision of better drinking water and sanitation facilities is necessary to enhance the aspirations for a better society.

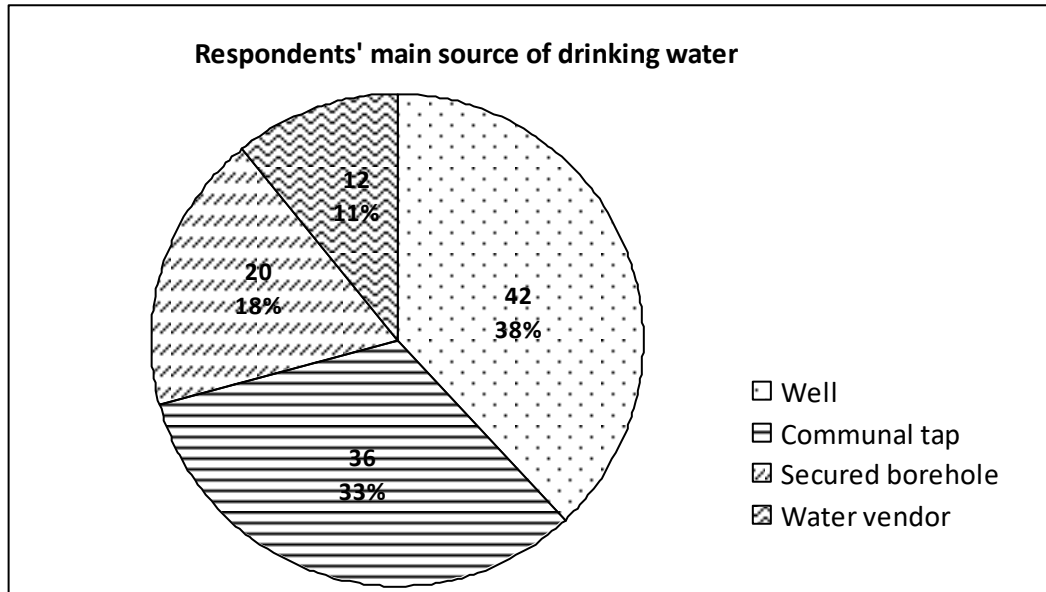


Figure 6.17 Main source of drinking water

Source: Field survey

The findings further support the literature that any meaningful upgrading of the informal settlement should include the provision of clean water and sanitation facilities. The efforts by the residents to provide for themselves give a clear indication on the high likelihood of the enabling approaches to succeeding in Misisi Compound.

6.4.18 Type of sanitation facility

The main sanitation facility was the simple pit latrine of 69% of the respondents, while 24% of the respondents used a shared pit latrine at the neighbour's house, whereas 7% of the respondents indicated that they did not have a toilet facility. The respondent who indicated that they did not have a toilet facility probably used the neighbour's facilities or the nearby bushes as any alternative toilet facility. Figure 6.18 shows the type of sanitation facilities used by respondents.

The pit latrines at their own houses was found according to the survey, as the most used type of sanitation facility by the respondents. The likelihood that the pit latrine waste contaminates the potable groundwater is high due to the proximity of the toilets to the well which is their water source. This may lead to outbreaks of waterborne diseases during rainfall seasons as the field observations indicated that both the pit latrines and the wells for their drinking water are shallow. This makes it easy for the water to mix, especially during the rainfall seasons when most parts of the community are flooded due to the absence of the drainage systems to

direct the surface water to central disposal drainage systems. Sanitation facilities are one of the important areas for the upgrading of the community as it contributes to public health of the residents and their community.

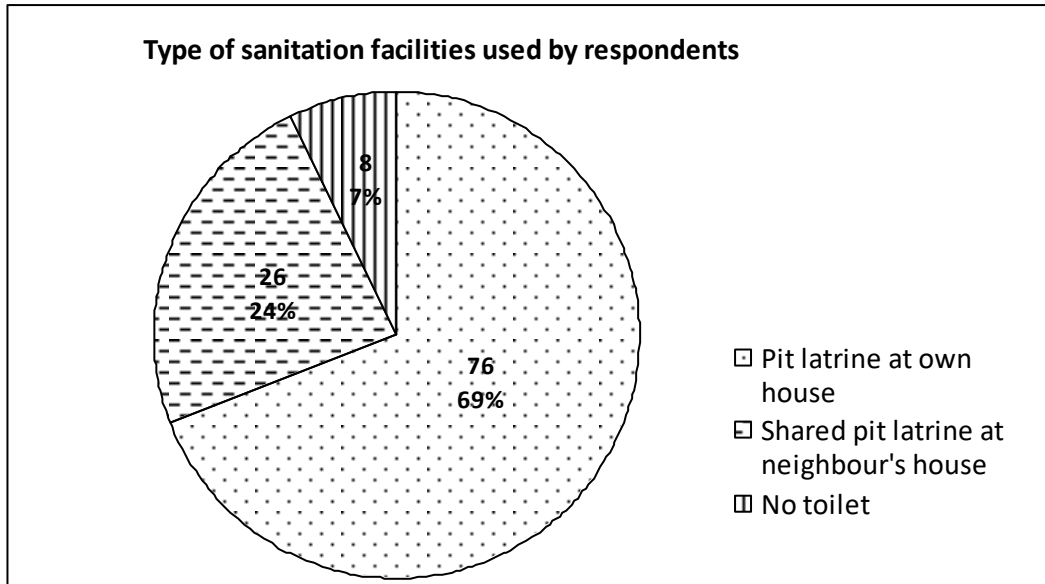


Figure 6.18 Types of sanitation
 Source: Field survey

The findings support the literature that upgrading of the informal settlement should involve the communities from the inception of the project as this allows the community to prioritise their needs based on the availability of resources. The residents desired that they have access to better sanitation facilities, thereby improving their quality of life and the physical environment. This process of involving the residents in the upgrading of their environment, creates an opportunity for the improvement of the current process in the upgrading of their community.

6.4.19 Municipal authority’s role in ensuring security of tenure for the residents

More than two thirds (69%) of the respondents indicated that the municipal authority’s role in ensuring security of tenure for the residents was for the authority to facilitate the process of acquiring certificates of title; 21% of the respondents indicated the surveying of plots and setting boundaries; 8% indicated the stopping of illegal allocation of plots, while 2% of the respondents indicated the production of the layout plans. Figure 6.19 shows the municipal authority’s role in ensuring the residents’ security of tenure for their properties.

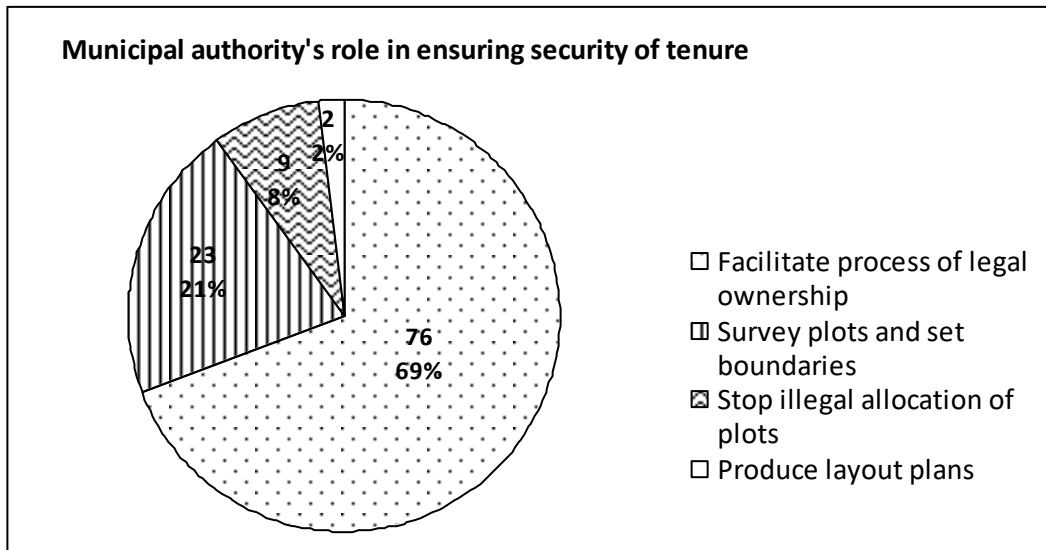


Figure 6.19 Municipal authority's role in ensuring security of tenure

Source: Field survey

The findings indicate that the residents view the municipal authority as the primary facilitator in assisting them in the acquisition of legal ownership documentation. To the community residents, obtaining the certificates of title stands out as a priority in their view of upgrading. They view the municipal authority's role as one which would help them have their legal ownership documentations.

The findings further support the literature that for any meaningful upgrading of the settlement, the authorities should play a facilitation role, while allowing the residents to best decide for themselves what should be done. The municipal authorities further play the role of creating an enabling environment and coordinating with all other government agencies to provide the necessary infrastructure and services.

The involvement of the residents from the planning stage, which is an important resource in the designing and implementation of the upgrading programme, coupled with their willingness to work with the facilitating authority, allows for the enablement approaches to be followed and to succeed in the upgrading of the settlement, resulting in sustainable outcomes of the implemented upgraded programmes.

6.5 CONCLUSION

The chapter presented results from the field study which provided the answers to the research questions in helping to understand how to improve the current processes in the upgrading of Misisi Compound.

Chapter 7

CONCLUSION AND RECOMMENDATIONS

7.1 INTRODUCTION

This research has explored the enablement approaches to the upgrading of informal settlements in Lusaka, Zambia, using Misisi Compound as a case study. Qualitative questionnaires were used to interview government agencies and non-governmental institutions. Quantitative questionnaires were used to interview the residents of Misisi Compound to get their current experiences on the upgrading programmes and their desires on involvement for the upgrading of their community.

Summarised research study findings and overall conclusions of the study is given in this chapter. The contribution to knowledge, recommendations, the study's limitations, and areas where the research can be furthered is stated.

7.2 OVERVIEW OF THE RESEARCH STUDY

The study identified that informal upgrading initiatives are failing to achieve their objective due to lack of adequate involvement by the community in the projects from inception, as an integrated approach ensures the inclusion of informal residents and other key stakeholders.

Chapter 1 introduced the research framework, outlining the research background how informal settlements upgrading. The chapter outlined the research aims and objectives, provided justification, briefly described the area of the research study. It further outlined the research methodology framework and gave an overview of the following chapters.

Chapter 2 presented the literature review which was undertaken in relation to the research problem, aims and objectives of the study. The chapter showed the development process of informal settlements, and how it supplements the supply of housing. Further enabling approaches were reviewed and how the residents improve their livelihood and play a vital role through self-help to supplement the formal housing delivery system.

Chapter 3 presented a review of the institutional framework and policy context which influence the human settlements in order to provide equal opportunities for productivity, socio-economic opportunities and access to land and property ownership. International

frameworks which guide sustainable human settlements that are key for the upgrading of informal settlements were reviewed. The chapter looked at the specific Zambian legislative and institutional frameworks which guide the process of legalising of unplanned settlements.

Chapter 4 described the methodological approach of the study. The mixed approach way of collecting information was adopted as it helped to adequately address the research question. Interviews, official records and documentation, and participant observation were presented as the type of data collection procedures. Data analysis procedures were outlined. The research population and sample size was identified, while outlining the purposive sampling method in order to have the specific information from specific target stakeholders. The chapter outlined the adherence of ethical norms in the process of conducting the research study.

Chapter 5 presented Misisi Compound as a suitable case study as it characterised most informal settlements in Zambia and Lusaka in particular, and, as such, become a suitable study area for what constitutes the upgrading of informal settlements in Lusaka context. The chapter presented that Misisi Compound has been legalised and qualifies for upgrading, with the issuance of legal certificates of occupancy licenses being the primary focus in the upgrading process.

Chapter 6 presented the research findings of the field data collection. Findings on the gender and age of the respondents were presented together with the type of ownership documents by the homeowners, type of drinking water and the accessibility to the type of sanitation facilities.

7.3 SUMMARY OF KEY RESEARCH FINDINGS

This study identified that the current processes of upgrading informal settlements do not fully engage the community from the initial and implementing process of the upgrading programmes. Residents desire to be fully involved in the upgrading programmes in their community. Suggestions from the findings are that current enablement approaches to the upgrading of informal settlements can be improved by full participation of the residents and allowing them to choose the priority areas and become part of the implementing process.

7.3.1 Objective 1: To understand what constitutes the upgrading of informal settlements in the Zambian and Lusaka context

The issuance of certificates of title documents to the residents in the informal settlement is an important aspect of what constitutes upgrading of informal settlement in the Zambian and Lusaka context. Certificates of title ensures security of tenure to their property and land and it can be used to look for finances to improve their houses and other business activities.

The research found that the provision of ‘elements’ of housing which the people could not provide for themselves, such as water and sewerage connections to individual houses, together with social services which help the residents improve their quality of life, came up as an important aspect of what constitutes upgrading of informal settlements in the Zambian and Lusaka context.

7.3.2 Objectives 2 and 3: To determine how the residents in Misisi experience upgrading processes and to learn from the residents how engaged they are in the upgrading of their area

It was found that residents have not been fully involved in the upgrading of their community. The residents desire to be part of the upgrading process from the inception through to the implementation of the project, unlike their limited roles through their representatives and by providing labour in the actual execution of the work.

The inhabitants of the informal settlements have experience and knowledge relevant to the upgrading of their settlement. Furthermore, the involvement of the residents from inception allows the community to prioritise their needs based on the availability of resources and thus be better able to sustain the upgrading outcomes.

7.3.3 Objective 4: Enhancement of the upgrading the informal settlement through the support of the municipal or central government

It emerged that the municipal authority is an important partner in the upgrading of informal settlements in Zambia and Lusaka in context. This process by the municipal authority serves as the foundation in the upgrading of the community. Furthermore, it was observed that the support and involvement of the municipal authority to facilitate the issuance of certificate of title, and to coordinate with all relevant government departments would ensure proper urban planning strategies, sustainability in upgrading of informal settlements.

7.3.4 Objective 5: Enablement processes succeeding in Misisi Compound

The research revealed that the residents desire to be the custodians of the upgrading programme. The residents want to be the initiators of their own upgrading programmes and work with the authorities, who are the facilitators of the upgrading programmes.

The respondents indicated their willingness to be part of the upgrading programmes. The respondents desire that they be part of the initiating process, to determine the priority areas for upgrading programmes and participate in the actual implementation of the upgrading programmes as this brings about ownership of the project.

7.4 OVERALL CONCLUSIONS

The upgrading of informal settlements in Zambia and Lusaka, in particular, will be achieved through the enabling process. The research findings were that the enabling processes have a higher likelihood of succeeding in the upgrading of informal settlements in Zambia. The residents, being the custodians of the same upgrading programmes, are the primary stakeholders for whom the projects are being implemented, as such their involvement from inception is a key catalyst in the improvement of the current processes of upgrading informal settlements.

This research found that the issuance of certificates of title to the residents is a priority area to the residents. Furthermore, most homeowners do not have the financial capabilities to undertake the processing of titles due to the high fees attached to the process. It is in this light that the planning authorities should revise the fees to enable the poor masses to afford the processing of their certificates of title to their land.

The residents' desire to work together with the authorities to bring about the much-needed development in their community in order to improve their livelihood. Their priority in upgrading programmes remains to be the provision of water and sanitation, sewerage facilities, grading of their roads and the provision of basic health and educational facilities.

7.5 CONTRIBUTION TO KNOWLEDGE

This research study intended to present the improvement of processes in the upgrading of informal settlements as enabling approaches are an effective way for successful implementation of the upgrading of informal settlements. The enabling approaches take into

consideration the primary beneficiaries of the upgrading programmes. The research provided new insight through the following:

- The research study has found that the success of the implementation of the upgrading programmes requires the full participation of the residents. This enables the residents to contribute through their skills, ideas and the know-how on how to execute certain tasks and take ownership of the programmes, a key aspect to the sustainability of the programmes.
- The research has presented the important relationship between the initiators of the upgrading programmes and the beneficiaries. The beneficiaries, who are the residents, have to be involved throughout the entire upgrading process.
- The research has demonstrated that the residents in the informal settlements are the ones who know and want to prioritise what upgrading programmes should be implemented.
- The research has established that enabling approaches have a high degree of success as this is the desire of the residents, to initiate and be part of the implementing process of the upgrading programmes.

7.6 RECOMMENDATIONS

The following recommendations are made based on the information collected in this research study.

7.6.1 Recommendation for policy

The policy and legislative frameworks which guide upgrading of informal settlements be more precise and aligned in address aspects of human settlements and unplanned settlements. The policy should aim at facilitating the provisions of adequate, affordable, decent and efficient housing for all socio-economic groups. Furthermore, the policy should focus more on low-income units through encouraging the use of available local building materials and innovative ways of building construction.

7.6.2 Recommendations for planning authorities

Municipal authorities should ease the process for the issuance of the certificate of title documents to ensure that the many poor residents in informal settlements have security of

tenure. Municipal and planning authorities should always keep in mind that the primary goal for policy implementation is to ensure sustainable development of informal settlements. Furthermore, the municipal authorities should prioritise the participatory and inclusive process which allows the residents to get involved from inception through the entire process of the upgrading of the informal settlements.

7.6.3 Recommendation for implementation of building and planning standards

Human settlement policies should emphasise more on integrated planning, research and delivery of housing which the people in urban and rural settlements can easily afford. Building and construction guidelines in upgraded settlements should be designed in such a way that there are not a financial burden on the residents.

7.7 AREAS FOR FURTHER RESEARCH

- Develop extensive qualitative research covering a large area to understand what constitutes the upgrading of informal settlements in the Zambian context, and to determine how residents in these informal settlements experience upgrading processes in their residential areas.
- An extensive research should be undertaken on how the provision of certificates of titles can be enhanced, make the process easy and make it more affordable to the residents in informal settlements.
- Municipality and central government's support to enhance the upgrading of the informal settlement according to the residents.
- The success of the enabling process in Misisi Compound can be used to investigate if it can be generalised to other informal settlements.

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APPENDIX 1
INTERVIEW GUIDE 1 – QUESTIONNAIRE FOR RESIDENTS

Questionnaire
Enabling Approaches to the Upgrading of Informal Settlements –
A Case Study of Misisi Compound in Lusaka

Date of interview:

Name of interviewee:

1. Gender of respondent: (Mark with an X)

Male	Female

2. What is your age? (Mark with an X).

Age group	Tick
Under 20 years old	
20-24 years old	
25-29 years old	
30-34 years old	
35-39 years old	
40-44 years old	
45-49 years old	
50-55 years old	
56-60 years old	
Above 60 years old	

3. What skills do you have?

Skill	Tick
Carpenter	
Bricklayer	
Plumber	
Electrician	
Tiler/steel fixer	
Bus/Truck drier	
If others, specify	

Who stays here?

Occupant	Tick
Owner/Spouse	
Family member	
Tenant	
Caretaker	
If others, specify	

4. Do you own the house you are staying in or you are renting? (Mark with an X).

Yes	No

5. If you own the house, what type of ownership documents do you have?
(Mark with an X).

Type of ownership Documents	Tick
Land record	
Occupancy license	
Council certificate of title	
Customary title	
Letter of sale	
Unknown	
None	
If others, specify:	

6. If you are renting, how much are you paying per month?

.....

7. What are your priority areas in the upgrading of your community?
Using a scale of 1-5, with 1 been the highest priority.

Priority area	Tick
Issuance of ownership documents	
Grading of access roads	
Installation of water pipes/points/borehole/communal taps	
Provision of toilets/shared ventilated improved pit latrine	
Provision of electricity	
Provision of dump sites	
If others, specify	

8. To you, what would you say is upgrading of your community?

Upgrading	Tick
Issuance of legal document to the parcel of land	
Provision of support to improve your dwelling house	
Provision of street lightings	
Provision of toilets	
Provision of roads and drainages	
Provision of communal water taps and surface drains	
Provision of piped water and sewer connections to individual houses	
Provision of public schools and health facilities	
Provision of public spaces	
If others, specify	

9. On a scale of 1-5, with 1 been the highest priority, how would you describe your experience of the upgrading processes by the municipal council of your community?

Experience of upgrading	Rating

10. Which of the following processes does the city council employ in the process of upgrading your community? (Mark with an X).

Employed process by the City Council	Tick
Residents invited to initial planning meetings	
Residents representatives	
Residents are hired to provide labour for the works	
Residents are allowed to decide on what upgrades should be done	
Residents are allowed to participate in the physical works	
If others, specify	

11. What contribution has there being from the community's side during the upgrade process of your community? (Mark with an X).

Community's contribution	Tick
Participating in planning meetings	
Provide labour during the actual works	
Sensitizing the community on the upgrading projects	
Residents are allowed to participate in the physical works	
If others, specify:	

12. How would you want to be involved in the upgrading of your community? (Mark with X).

Desired role of involvement	Tick
Attend planning meetings	
Consulted on what to be done	
Choose the priority areas to be upgraded	
Sensitise the community about the programme	
Take part in actual works	
Hired to do the works	
Supervise the works	
If others, specify:	

13. Did you build your house using your own money or you were assisted? (Mark with an X).

Yes	No

14. If you were assisted to build it, who assisted you? (Mark with an X).

Assistance provided by	Tick
City Council	
Housing Cooperative	
Non-government Organisation	
If others, specify:	

15. What kind of assistance did you receive? (Mark with an X).

Type of Assistance	Tick
Processing of legal ownership documents	
Money to buy the parcel of land	
Building plans	
Supervision during the building of the house	
Materials for building house	
If others, specify:	

16. What materials is your house built of? (Mark with an X).

Walls	Tick
Burnt bricks	
Mud bricks	
Stone	
Concrete blocks	
Others, specify	
Roof	
Thatch	
Plastic materials	
Cardboard	
Metal/ Iron sheet	
Others, specify	

17. What is the main source of your drinking water? (Mark with an X).

Main source of drinking water	Tick
Well	
Borehole	
Communal tap	
Water vendor	
Tap at own house	
If others, specify:	

18. What is the main type of toilet used by the household? (Mark with an X)

Type of Assistance	Tick
Pit latrine at own house	
Shared pit latrine at neighbour's house	
Flush private connected to water sewer system	
No toilet facility	
If others, specify:	

19. What role should the city council play to give you a sense of security of tenure?
(Mark with an X).

City council role to give residents sense of tenure	Tick
Facilitate process of legal ownership	
Issue occupants licenses	
Survey and set plot boundaries	
Stop illegal allocation of plots	
Provide piped water to houses	
Numbering the parcel of land	
Others –explain:	

20. What role should the city council play to enhance layout pattern of your settlement?
(Mark with an X).

City council role to enhance layout pattern of settlement	Tick
Produce a layout plan for the plots	
Numbering the plots	
Stop plot encroachments	
If others, specify:	

End of Interviews

Thank You

APPENDIX 2

INTERVIEW GUIDE 2 – QUESTIONNAIRE FOR INSTITUTIONS

Questionnaire Enabling Approaches to the Upgrading of Informal Settlements – A Case Study of Misisi Compound in Lusaka

Date of Interview:

Name of Organisation:

1. What would you say constitutes upgrading of informal settlements in Lusaka?

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2. In what ways does the upgrading of an informal settlement benefit the residents?

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3. What are some of the co-production approaches which are currently been practiced in the upgrading of informal settlements?

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4. What are the positive and negative experiences of the communities during the process of upgrading the informal settlement and why?

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5. How is the community being consulted during the upgrading of the informal settlements?

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6. How is the community being engaged during the upgrading of the informal settlements?

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7. What do you think should be done to improve engagement of the community during the upgrading of the informal settlements process?

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8. What have you learnt from the community, are their desires to be involved/ their thoughts on upgrading of the informal settlement?

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9. What are the advantages of engaging the community in the upgrading of informal settlements?

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10. How can your institution improve the engagement of the community during the upgrading of informal settlements process?

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11. What do you understand by owner managed housing and how does owner managed housing contribute toward solving housing needs for the low-income groups?

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12. What support does your institution avail/ provide for people who want to build their own houses or who have built a house?

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End of Interviews

Thank You