

**DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE
DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE
MUNICIPALITY, UGANDA**

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ABSTRACT

Namatala, the largest slum in Mbale Municipality in Eastern Uganda, is in the industrial division of the Municipality. The period between 2003 and 2013 show that there has been both urban infill and urban sprawl in Namatala. The strongest patterns appear to be urban infill of informal housing in Mvule cell with the peripheral areas having more permanent form of housing. Namatala exhibits the challenges typical of most African slums. Place-specific understanding of the linkages between the social, economic, environmental, and cultural dimensions of Namatala was required to understand the challenges, along with an analysis of the effectiveness of policies and practices for sustainable development and the degree to which community capacity building is functioning. The main aim of this study was to develop a place-centred approach for considering sustainable development solutions for Namatala slum. Data for the analysis of place-specific problems, challenges and solutions was collected through observation of the area, household survey questionnaires, key stakeholder interviews, focus group discussions, and analysis of international to local policies and plans, and capacity analysis of the third sector organisations operating there. Namatala is a significantly disadvantaged location, it is wrought with poverty, inadequate social amenities, poor housing, lack of solid waste management, lack of essential infrastructure, and inadequate access to clean water, safe sanitation facilities and security of tenure. The problem of slums in Namatala and Uganda can largely be attributed to a lack of place-specific policy implementation of the national policies and guidelines as well as to lack of intervention by the government, inappropriate regulation, dysfunctional land markets, unresponsive financial systems, and a fundamental lack of political will. It is also a lack of enforcement of appropriate enabling frameworks, weak political will, and the absence of the means for public engagement. The community and capacity audit evaluated the role of organisations and assets that exist in the community for addressing the slum-related issues in Namatala. It revealed significant collective capacities between the third sector groups and within community but hampered by a lack of coordination and collective action. There are opportunities that could be developed to establish a more sustainable future for the community involving the role of the public, private and third sectors and the local community in addressing issues facing Namatala slum. There is need for tri-sector partnership and a place-based intervention that would tap into the already existing policy instruments, capitals and actors and bring them to play with the intended recipients for sustainable place making in Namatala. The potential is there for a more hopeful community, willing to solve their problems through their people's resilience, cultural richness, and willingness to do something regarding their circumstances.

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ACRONYMS/ABBREVIATIONS

ABCD	Asset Based Community Development
AFDB	Africa Development Bank
AMCHUD4	African Ministerial Conference on Housing and Urban Development
APHRC	African Population and Health Research Centre
CA	Cities Alliance
CAPH3	Common African Position to Habitat III
CBD	Central Business District
CBO	Community Based Organisation
CD	Community Development
CDM	Clean Development Mechanism
CDO	Community Development Officer
CEDP	Competitive and Enterprise Development Project
CIVICUS	International Alliance of Civil Society Organizations
CNDPF	Comprehensive National Development Planning Framework
CoH	Child of Hope
COP21	UN Climate Change Conference
CRO	Child Restoration Outreach
CSO	Community Service Organization
CWS	Cities without Slums
DENIVA	Development Network of Indigenous Voluntary Associations
DPPC	Division Physical Planning Committees
EC	European Commission
EDM	Economic Demand Management
FBI	Faith Based Institutions
FGD	Focus Group Discussion
GDP	Gross Domestic Product
GIS	Geographic Information System
GKMA	Greater Kampala Metropolitan Area
GM	Genetically Modified
GNP	Gross National Product

GOU	Government of Uganda
HDI	Human Development Index
HIPC	Heavily Indebted Poor Countries
IGA	Income Generating Opportunities
IGO's	Inter -Governmental Organization
ILO	International Labour Organization
IMF	International Monetary Fund
ISIC	International Standard Industrial Classification of all Economic activities
UN	United Nations
ISPs	Inter- sectoral partnerships
LCs	Local Councils
L.C 1	Local Council 1
LED	Local Economic Development
LGs	Local Governments
LGA	Local Government Act
LLG	Lower-Level Government
LSSP	Land Sector Strategic Plan
LGDP	Local Government Development Programme
MDGs	Millennium Development Goal
MDF	Municipal Development Forum
MoFPED	Ministry of Finance, Planning and Economic Development
MMC	Mbale Municipal Council
MoLHUD	Ministry of Lands, Housing and Urban Development
MoLG	Ministry of Local Government
MPPC	Municipal Physical Planning Committee
NEMA	National Environmental Management Authority
NGO	Non-Governmental Organisation
ND II	National Development Plan II
NPA	National Planning Authority
NPPB	National Physical Planning Board
NPDP	National Physical Development Plan

NSDF	National Slum Dwellers Federation
NUA	New Urban Agenda
NUF	National Urban Forum
NUP	National Urban Policy
OECD	Organization for Economic Co-operation and Development
PAST	Paleontological Data Analysis
PBA	Place Based Approaches to Development
PDP	Physical Development Plan
PI	Presidential Initiative
PONT	Partners Overseas Networking Trust
PPA	Physical Planning Act
PPCs	Physical Planning Committees
PPPs	Public Private Partnerships
PSFU	Private Sector Foundation Uganda
RDC	Resident District Commissioner
ROU	Republic of Uganda
SD	Sustainable Development
SDG	Sustainable Development Goals
SDI	Slum Development Initiative
SDS	Slum Development Stages
SPP	Strengthening Partnerships for an African Urban Agenda
SPSS	Statistical package for the social sciences
SSA	Sub Saharan African Countries
STDM	Social Tenure Domain Model
SUDP	Strategic Urban Development Plan
SWOT	Strength, Weakness, Opportunity, and Threats
SWOC	Strength, Weakness, Opportunity, and Challenges
TSUPU	Transforming Settlements for the Urban Poor in Uganda
UBOS	Uganda Bureau of Statistics
UMA	Uganda Manufacturers Association
UNCDF	United Nations Capital Development Fund
UNCED	United Nations Conference on Environment and Development

UNCHE	UN Conference on the Human Environment
UNCHS	UN Commission on Human Settlements
UNCST	Uganda National Council for Science and Technology
UNDESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme
UNESCO	United Nations Educational Scientific and Cultural Organization
UNHCR	United Nations High Commissioner for Refugees
UN-HABITAT	United Nations Human Settlement Programme
UNODC	United Nations Office on Drugs and Crime
UPE	Universal Primary Education
USE	Universal Secondary Education
UPPC	Urban Physical Planning Committees
UNUP	Uganda National Urban Policy
USMID	Uganda Support Municipal Infrastructure Development
USPS	Urban Sector Profiling Study
YFACM	Youth for a Covenant Mission

CHAPTER 1: INTRODUCTION

1.1 Context

In developing economies, a growing proportion of the population live in urban areas. Urbanization draws people from rural areas to urban centers, expanding its' population and resulting in the generation of unplanned informal settlements with an impoverished urban population (UN-Habitat, 2011). Considerable pressure is exerted on housing, transport, water, health, education, social welfare, and employment (National Planning Authority, 2017). The resultant slums, poverty and environmental problems can be classified as wicked problems (Rittel & Webber, 1973). This is because knowledge about their nature and solutions is imperfect (Levin, et al., 2012). Problems facing slums can further be classified as super wicked problems since first, social inequalities, poor health, lack of access to education and poverty are increasing; second, their solutions are time barred; third, there is a lack of coherent city-wide set of urban policies to address them; and lastly, the people trying to solve the problems are also causing them (Metens, 2015).

Because the intersection of the economic, environment and social systems create super wicked problems, there are no completely right solutions to these types of problems. The increase in the levels of urbanization and congestion in these cities can be attributed to the lack of proper policies and planning. Addressing these problems and therefore, making urban areas more liveable has been one of the key challenges of the twenty-first century policy makers (Oooi & Phua, 2007). To address this problem amongst others, the United Nations Global Report on Sustainable Development's fundamental guiding principle for the implementation of the 2030 Agenda for Sustainable Development was 'ensuring that no one is left behind' (UN, 2016).

The progress in improving the lives of slum dwellers is slow or non-existent (UNDP, 2010). Formal urban planning and appropriate policy as well as systematic physical and infrastructural planning are required to develop solutions to these urban problems in a sustainable way (National Planning Authority, 2017). Governments, organizations and partners have been involved in the formulation and implementation of development policies and strategies to improve the living conditions of informal settlements, creating opportunities to improve the process of sustainable development and improve the quality of life and livelihoods. Where formal government planning and policy is inadequate, solutions have been sought through community engagement, empowerment and participation (Brown, 2012). Third sector parties, including committed partners, relevant stakeholders, and urban actors at all levels of government, civil society and private sector, have stepped in to try and address slum issues. Rather than play the role of passive victims of circumstances, empowered slum communities with commendable coping strategies have acted as active agents of change with resilience and imagination to negotiate and survive tough environments. Interactions between residents of informal settlements, governments and third sector groups are crucial interventions necessary for sustainable development.

However, community based organisations and third sector groups working at the local scale among poor neighbourhoods in cities face constraints on urban planning and management. Slum settlements and poor urban neighbourhoods lack legal and political representation due to the fact that they often have little or no legal claims on city or national governments. However, in implementing solutions, countries and stakeholders have to make choices on where, when and how to act in order to create conditions for an economically, environmentally, culturally and socially sustainable future especially in slums. These interventions maybe place or people centered. Former sector specific, people centered policies and strategies of urban development have failed to address

problems of informal settlements, shifted policy focus is therefore to the development and implementation of place centred policies and strategies approaches with which to address the human and environmental implications of problems of informal settlements. (Payne, 2005).

Place centered interventions take into account specific assets that are by definition located in a particular place and seek to co-ordinate the various sectoral policies affecting that place. They redefine regional development as a multi-sector growth model that seeks to identify and harness human, built, geographic and intangible local strengths and assets. This not only maximises a region's development potential and its contribution to aggregate growth but also leverages investments by focusing resources in targeted places and drawing on the compounding effect of well-co-ordinated action. This is more likely to achieve coherent, multi-sector policy outcomes than one relying on economy-wide policies that are "spatially blind" (though not always spatially neutral). The exact and appropriate framework to address problems of, for example, slums, favelas and barrios in large metropolises across the planet can be argued to be "a place-based" approach, only a few people who live there are likely to be cheerleaders for a space-blind, sectoral-type thinking" (Barca, et al., 2011).

In the light of the foregoing discussion, an understanding of first, the spatial, social and economic dynamics of informal settlements as well as challenges facing them, second; policies and strategies put in place to address these challenges and thirdly, the role of the government, community and third sector groups in facilitating improvements in the lives of slum dwellers is necessary. This study moves away from looking at cities as specialized sector areas to looking at them as concentrated, complicated and integrated systems. Assessing how impoverished informal settlements within urban areas develop, this study explores holistically the spatial, social, economic, environmental and cultural aspects of informal settlements (Lombard, 2014). It assesses

the policies and strategies which have been formulated by international, regional, national and local government to address challenges facing the construction of sustainable places and communities, in particular, informal settlements. Another key feature of the research is the assessment of the balance or distribution of power between community, third sector groups and the government aimed at the well-being of the slum dweller. There is need for effective sustainable public policies to guide and accelerate the improvement of slums. This may provide a basis for realizing transformation of slums. This study examines, first, the extent to which policies and strategies of urban development are employed in Namatala are place based and secondly, the extent to which principles of sustainable development have manifested themselves in practice in Namatala.

1.2 Introduction to concepts and definitions

This section provides definition of terms used in this study.

1.2.1 Urbanization

Urbanization refers to the process by which rural areas become urbanized resulting in a shift in population from rural to urban settlements (McGranahan & Satterthwaite, 2014). However, it is important to acknowledge that the criteria for defining what is urban may vary from country to country (McGranahan & Satterthwaite, 2014). In Uganda, the definition of urban areas has changed over time, with the 1969, 1980 and 1991 censuses defining urban areas to include gazetted urban centres (City, Municipalities and Town Councils) and ungazetted trading centres. However, the 2002 and 2014 Censuses defined urban areas to include only the gazetted urban centres (City,

Municipalities, Town Councils and Town Boards). In August 2014, there were 197 urban centres in Uganda. These included one Capital City, 22 Municipalities, and 174 Town Councils (excluding the Town Boards) (UBOS, 2016).

1.2.2 Slums/Informal settlements

Target 11 of the Millennium Development Goals (MDGs) and now the 2030 Agenda for Sustainable Development Goal number 11 describes typical slums in developing countries as unplanned informal settlements where access to services is minimal or non-existent and where overcrowding is the norm. Slums can also be defined as ‘neglected parts of cities where housing and living conditions are appallingly poor’ and the words ‘slum’ and ‘informal settlements’ can be used interchangeably (UN-HABITAT, 2012). Some scholars would argue that there is a distinct difference between slum and informal settlement because it confuses the physical problem of poor-quality housing with the characteristics of the people living there (Rashid, 2009). Whether slums and informal settlements are viewed separately or as a single entity, they represent disadvantaged communities continuing to have a large impact on the physical and economic landscapes (Davis, 2006). This study adopted the UN Habitat view that slums and informal settlements are one and the same thing.

1.2.3 Urban Informality

The phrase “informal sector” was coined in the Kenya report of the ILO. It describes the informal sector as all economic activities by workers and economic units that are not covered or are insufficiently covered by formal arrangements (ILO, 2002). Informality is often used in terms of economics, where the informal economy involves income generating activities that fall outside

the purview of state regulation. It has normally been accepted that anyone in the informal sector was there as a last resort (Okyere & Kita, 2015). Informal settlements can be explained as the “spatializing” application of the concept of informality.

1.2.4 Slum improvement

Slums have been in existence since the onset of urbanization. . Policy makers should be concerned with how to improve slums by integrating them into the cities where they are found in a sustainable way rather than through slum eradication. Slum improvement consists of physical, social, economic, organizational, and environmental changes undertaken cooperatively and locally among community groups, NGOs (the third sector) and local authorities and the central government. This includes among others, installing or improving basic infrastructure, removing or mitigating environmental hazards, providing incentives for community management and maintenance, regularizing security of tenure, improving access to health care and education, as well as to social support programs and enhancing income-earning opportunities through training and micro-credit (UN-HABITAT, 2003)

1.2.5 Development

Development remains a contested, complex and ambiguous concept. According to the English dictionary, it means unfolding, growth, becoming fuller, working out of details or bringing out latent potential (Todaro & Smith, 2011). However, in relation to communities, the dimensions of development include but are not limited to economic, social, political, legal institutional structures, technology, environment, religion, and culture (Levy & Fukuyama, 2010). According to this study,

development refers to the bringing out of the latent potentials of communities through community empowerment, engagement and participation.

1.2.6 Community Empowerment

Community empowerment is the capacity of individuals, groups and/or communities to take control of their circumstances, exercise power and achieve their own goals, and the process by which, individually and collectively, they can help themselves and others to maximize the quality of their lives (McLaughlin, 2014). Empowerment may also refer to measures designed to increase the degree of autonomy and self-determination in people and in communities, in order to enable them to represent their interests in a responsible but forceful way, either acting on their own authority using their natural abilities or assisted to explore possibilities of their strength; and be able to demonstrate control over events that determine their lives (Adams, 2008). It involves personal action, the development of small interest groups, community organizations, partnerships, social and political action (Menike, 1993). The aim of these activities is to use the potential of the inhabitants to resolve the very problems that slums generate by making use of their own creativity which involve them in decision-making.

1.2.7 Community Engagement

A community is a group of people united by a common set of goals, values, and work together to achieve common goals (MacQueen, et al., 2001). Community engagement is a process of working collaboratively with community groups to address issues that impact on the well-being of those groups (McCloskey, et al., 2011). Practically, community engagement is used as an active

method of implementing change through some form of activism anchored on consultation and decision making.

1.2.8 Community Participation

Participation is an act of taking part in an activity. In slums it means close involvement in the economic, social, cultural and political processes that affect the lives of slum dwellers (Oakley, 1991). When an entire community is involved in the activities, the concept becomes community participation. Community participation can thus, be loosely defined as the involvement of people in community projects and programmes to solve their own problems (Ndekha, et al., 2008). One of the major mechanisms for community participation is through community based organizations (CBOs).

1.2.9 Community Based Organizations (CBOs)

CBOs are civil society non-profits that operate within a single local community. They are essentially a subset of the wider group of non-profits. They are normally ‘membership’ organizations made up of a group of individuals who have joined up together to further their own interests (e.g., women’s groups, credit circles, youth clubs, cooperatives and farmer associations) (Hussain, et al., 2008). Within the CBOs there are many variations in terms of size and organizational structure. Some are formally incorporated, with a written constitution and a board of directors (also known as a committee), while others are much smaller and are more informal (Molyneux, et al., 2007).

1.2.10 Non-Governmental organizations (NGOs)

NGOs are autonomous organizations that are neither government run nor have profit making motives like private businesses (Lewis & Kanji, 2009). This definition covers a wide range of organizations, institutions and individuals, with civil society and the third sector overlapping primarily through organizations (Lewis, 2007). NGOs are relief and welfare agencies, including missionary societies and technical innovation organizations that pioneer innovative approaches in specialist fields and advocacy groups and networks that have no field projects but that exist primarily for education and lobbying (Clark, 1991). They could also be referred to as civil society organizations (Anheirer & Themudo, 2008).

1.2.11 Sustainable Development

Many definitions of sustainable development abound. According to the Brundtland Commission, sustainable development is “development which meets the needs of the present without compromising the ability of future generations to meet their own needs” (UNCED, 1987). The URBAN21 conference in Berlin in the year 2000 defined sustainable urban development as the improvement of the quality of life in a city, including ecological, cultural, political, institutional, social and economic components without leaving a burden on the future generations (Hall, 2000). This study adopted the Urban21 definition of sustainable development. Whereas this broad definition does not limit the scope of sustainability, it touches on the importance of intergenerational equity and the long-term stability of the economy and the environment.

1.2.12 Sustainability

Sustainability refers to the holistic approach and temporal processes that lead to the endpoint of sustainable development. Sustainability therefore can be defined as the endurance of systems and processes and as a socio-ecological process characterized by the pursuit of a common ideal (Wandenberg, 2015). Attainment of sustainability is a social challenge that requires involvement of international and national commitments, urban planning, local and individual lifestyles and ethical consumerism.

1.2.13 Place-making or place building

Place-making or place building is the deliberate shaping of an environment to improve a community's quality of life and facilitate social interaction or investment into actively changing place identity (Gans, 2002). Landscapes are formed through the application of rational methods whose main concern is to create orderliness. Problems are identified, defined, analysed and resolved through technique. Close attention is paid to the design and planning of all the specific things in the landscape. Professional place-makers take downtrodden places and create new and exciting precincts. These designers of landscapes are developers, planners and bureaucrats who aim at providing adequate housing, or transportation or profit (Relph, 1981).

1.2.14 Place Based Approaches

The traditional national governments approach to place making has been a sector-specific approach focusing on short-term subsidies to support employment in lagging regions (Barca, et al., 2011). There has however been a shift in paradigm over the last decade whereby regional

economic performance is addressed by taking a more holistic approach that seeks to identify and harness local strengths and assets to encourage growth and development in their regions. This requires a multi-sector, whole-of-government approach, along with networked, multi-level governance arrangements to align objectives across different levels of government. These has come to be known as place-based approach (Gurría, 2011).

1.3 Goals and Objectives of the Research

The main aim of this study was to evaluate the role of the place-based approach, in the making of Namatala slum.

The objectives of this study were as follows;

1. To examine the form and evolution of Namatala as a place.
2. To explain the role of social, economic and environmental factors in the development of Namatala
3. To critically appraise international, African, national, and municipal urban policies and strategies influencing the development of Namatala.
4. To assess the contributions of community-based organisations and third sector groups in dealing with the problem of slums development in Namatala

1.4 Conclusion

Comprehensive information on the slum dwellers covering the different aspects of their life is essential for formulation of effective programs and coordinated policies for economic improvement and rehabilitation of slum dwellers. Therefore, the present study is important and timely especially as the government of Uganda is collaborating with development partners to consider institutionalization of programs and policies for rehabilitation of slums around the major towns in the country (National Planning Authority, 2017). This study presents some empirical facts based on the questions below:

1. Is there a functional relationship between economic, cultural, social and environmental factors to growth and sustainable development in a slum?
2. Is there evidence in improvement of place specific living standards in slums through policy formulation, community and third sector involvement?
3. Such questions prompted the need for this study to developing a place-centred approach for sustainable development solutions for Namatala slum, Mbale Municipality, Uganda.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

This chapter reviews literature of the study by objectives. Section 2.2 examined the theoretical underpinnings of the study including the theoretical understanding of space, place and place based approaches. Section 2.3 reviewed literature on sustainable development. Section 2.4, 2.5, 2.6, 2.7 and 2.8 addressed the meaning, rate, form and evolution of urban areas and informal settlements, the role of social, economic and environmental factors affecting slum development as well as the roles of governments (urban policy), communities CBOs and the third party NGOs on slum development.

2.2 Theoretical underpinnings

This section examines the theories applied in this study to analyse how Namatala slums have been made. Section 2.2.1 introduces progressively theoretical understandings of the concepts of space, place and place making. The meanings of space are examined in terms of how they relate to place, where space has often been described as the context for places and place making. Section 2.2.2 examines how place making or place building transforms spaces into places using place-based approaches.

2.2.1 Theoretical understandings of space and place

There are many meanings of space which range from geometric abstraction to direct experience. Cognitive space, which is homogeneous and neutral, is an abstract construct based on attempts to develop theories about space (Drum, 2011). It dates from Aristotle's theory of place.

Aristotle's argument that a place is defined by "the boundary of that which encloses it," leaves little scope for imagination or experience (Aristotle, 1952). His theory was perhaps derived from previous suggestions by Archytas that "everybody occupies some place and cannot exist unless its place exists," and that "it is plain that place, where what is done and suffered exists, is the first of all things." (Casey, 2001). Although Archytas hinted at something akin to existential space, Aristotle's theory reduced it to an abstract and geometric concept in which places are defined by sets of locational coordinates. Abstract space, on the other hand, is the description of space without founding that description on empirical observations (Les, 2018). This space is conceived of as isotropic, uniform, finite or infinite space, merely points without invoking sense experiences.

Architectural space results from deliberate attempts to create spaces and are manifest in the relationships between buildings, in their hollow interior, and in interrelationships between the exterior and the interior. Similarly, the space of urban planning is an empty surface on which things can be arranged according to functional and economic imperatives where place means little more than a location in which certain limited functions are served, such as a shopping centre (Lefebvre, 2003). This owes little to spatial experience but is tied to cognitive space.

Perceptual space is organized around immediate needs and actions according to personal experiences, current or experienced. Though personal, it is not isolated in individuals but is from the outset shared with others who have similar perceptual spaces and places. It is perceived subjectively and has emotional qualities (Seamon & Buttner, 1980). Likewise, primitive or pragmatic space is the space of instinctive and biological behavior, of up and down, in front and behind, within hearing or out of sight (Gustafson, 2005). This space is simply a continuous series of egocentric places where things performing certain functions or meeting specific needs can be found. At this level it is difficult to distinguish space and place.

Existential or lived-space is the structure of space as it appears in the shared experiences of a cultural group socialized according to common set of experiences and symbols (Kimball & Thomas, 2012). It is the environmental and spatial constitution of one's everyday world grounded in culture and social structure. These spaces are inter-subjective and may not be obvious to outsiders. Sacred space is a specific form of existential space associated with religious experience while geographical space is the desacralized space of modern societies whose experiences are given direction by intentionality. The meanings of space, and particularly lived-space, come from the existential and perceptual places of immediate experience.

These various types of space are related and should not be understood as a clear progression from pragmatic experience to abstract reflection. Whereas spatial experience plays only a trivial role, imaginative awareness and aesthetic experiences of space it may generate, creates places that express cultural and symbolic complexities and serve as specific centers of meaning within geographical space (Relph, 1976). Society transforms natural space into social space, use and exchange it. Space thus affects individuals, collectivities, and social processes and forces (Gans, 2002). The deepest meaning of geographical space comes from what Heidegger referred to as 'dwelling' (Heidegger, 1972). The manner in which we relate to the earth and develop a sense of belonging to somewhere, to a place where our hopes and intentions are grounded. Martin Heidegger wrote that: "Spaces receive their being from places and not from 'the space'...Man's essential relationship to places, and through them to space, consists in dwelling...the essential property of human existence." (Heidegger, 1972).

The various understandings, perceptions and meanings of space determine how we relate with the space and how place is made. In "Place and Placelessness", Relph reviews space and its relationship to place (Relph, 1976). He argues that to describe why a particular place is special

and to know how to repair existing places, it must be explored in terms of how people experience it and its significance to humans (Relph, 1993). Relph identifies modes of spatial experience that are instinctive, bodily, and immediate, for example, pragmatic space, perceptual space, and existential space and those that are more cerebral, ideal, and intangible—for example, planning space, cognitive space, and abstract space (Relph, 1976).

Place on the other hand has been defined in terms of location, human experience, exclusion or social construction. Place is made and remade on a daily basis (Cresswell, 2004). Unlike location, region and space, place is more than an abstract concept. It is described using phenomenological methods which proceed from experiences rather than concepts. A meaningful segment of space, place is defined as both geographical and social, and is organized around the meanings individuals and groups give to it in its setting (Rodman, 1992). Geographical reality begins with the places we know and experience. It is a profound, complex and meaningful aspect of people's everyday encounters with the world, a unique ensemble of nature and culture and a phenomenon of the lived world of everyday experience (Rodman, 1992).

By its very nature, place gathers worlds spatially and environmentally, marking out centers of human action, intention, and meaning (Casey, 2001; Malpas, 1999). Relph explains that experiential spatial modes have varying intensities in everyday life and emphasizes that these modes are not mutually exclusive but are all part and parcel of human spatial experience as it is a lived, indivisible whole (Relph, 1993). Place therefore continues to be significant both as a vigorous conceptual structure as well as an irrevocable part of everyday human life (Horan, 2000). The phenomenon of place and the deliberate study of place and of places offers a means to understand the complex unity of the larger world as it is directly known and experienced, and the ways this world is changing.

Landscapes express and condition cultural attitudes. They are visual backgrounds to whatever we are doing. Modern landscapes are the distinctive products and expressions of new beliefs, aesthetics, technologies and economies which can be variously described as rational, absurd and confused-the context of present-day placelessness. Modern landscapes concerns are with the wholly reasonable aims of providing adequate housing, or transportation, or profit and not qualitative matters such as the distinctive identities of places where people will live. Significant changes to landscapes and the places in them are not possible without major changes in those attitudes (Nassauer, 1995). The landscape of reason surrounds us, they pay no attention to the sort of individual and community commitment that is necessary for a sense of place (Nassauer, 1995).

Place is made and remade on a daily basis (Cresswell, 2004). Place-making, which has its origin in the 1960s (Jacobs, 1961), is the deliberate shaping of an environment to improve a community's quality of life and facilitate social interaction or investment into actively changing place identity (Gans, 2002; Cresswell, 2004). Landscapes are formed through the application of rational methods, in which the main concern is to create orderliness. Professional place-makers take downtrodden places and create new and exciting precincts. Close attention is paid to the design and planning of all the specific things in the landscape. These designers of landscapes are developers, planners and bureaucrats who aim at providing adequate housing, or transportation or profit (Relph, 1981). Great designs help in creating a distinctive and unique sense of place, but design alone cannot solve all, nor can it alone create communities. These projects do not, therefore, always succeed in changing urban fortunes.

2.2.2 Place Based Approaches

Place-based approaches are comprehensive programs or strategies working with a range of partners to address multiple causes of social problem in a locality (Avis, 2019). These approaches center on a recognition of the need to reconfigure relationships between governments, philanthropy, civil society organizations, the private sector, and citizens in order to achieve change by developing collaborative approaches to address the underlying causes of community problems. More fundamentally, place-based approaches require advanced and effective vertical and horizontal governance mechanisms (Avis, 2019). This implies a deep and coordinated engagement of regional and local governments in achieving national short and long-term development outcomes (Gurría, 2011). They also entail nurturing specific institutional arrangements to sustain the dialogue between the public and private sectors, academia and training institutions and community-based non-governmental organisations (Gurría, 2011).

Place based approaches are a “family” of policies that takes account of specific assets designed to improve the performance of regions. These policies by definition are located in a particular place and seek to co-ordinate the various sectoral policies affecting that place and therefore, achieve coherent, multi-sector policy outcomes rather than relying on economy-wide policies that are “spatially blind” (though not always spatially neutral) (Gurría, 2011). These approaches are, therefore, nationally driven but locally delivered.

The performance of a region, in our case, an informal settlement, will depend to a great extent on how well it manages to exploit and mobilize its own assets and resources which will in turn determine the extent to which the region contributes to national performance. This is because regional growth performance is shaped by such factors as amenities, accessibility, size, demographics, industry specialization and agglomeration effects. Significantly, these principal

growth drivers are not exogenous, like location or natural resource endowments (Barca, et al., 2011). Therefore, from a national policy perspective, it is not simply regional growth rates that matter, where growth occurs, place, is also critical.

The argument in favor of space-blind policies often refers to the existence of economies of agglomeration (Barca, et al., 2011). According to these policies, people are typically more productive in large agglomerations because they have access to more capital and infrastructure, and benefit from a greater number of connections to other people. In this way the migration of people to large cities is seen as an engine of growth for the whole economy. In consequence, policies should not interfere with this optimal allocation of resources, they should also be defined uniformly across all regions (or be blind to space). To address political and social problem that may arise, governments have designed subsidy-based interventions to reduce regional disparities (Rodríguez-Pose & Gill, 2004). Such transfers are often not sustainable because they create relations of dependency and, over time, the richest regions become more and more reluctant to finance the lagging ones.

The rationale for the place-based approach is based on the principle that opportunities for growth exist in the entire territory and across all types of regions (OECD, 2009). Going far beyond the problem of how to address lagging regions, the aim is to maximize national output by assisting and encouraging each individual region to reach its growth potential endogenously. Place-based policies cover urban policies, rural policies, and governance mechanisms across different levels of government. The fact that the constraints on growth appear to vary across different levels of development and different types of regions points to the need for a differentiated approach for policies that take “place” seriously (World Bank, 2009). That does not mean that all policies could

or should be “place-based”, but it suggests that place-based approaches have a key role to play, and the role and potential of regional policies justify regional policies.

2.3 Sustainable Development

2.3.1 Meaning of sustainable Development

The concept of sustainable development (SD), originated from the eighteenth-century idea of “natural balance” or “natural equilibrium” in developing human civilizations (Razak & Sanusi, 2010). Traditionally, definitions of sustainable development have included environmental, social, and economic aspects (Munasinghe, 2009). Sustainable development now includes the four interconnected domains of ecology, economics, politics and culture (James, 2015) and the major principles of subsidiarity, inter-generational equity, proportionality and participation (Haque, 2000). The urban audit was based on the four pillars and three principles of sustainable development. In SD, the community members make local capital investments that will sustain human and natural resources and yield adequate financial returns to those investments (UNDP, 2016).

Sustainability is “... an economic, social, and ecological concept” it refers to the holistic approach and temporal processes that lead to sustainable development and the endurance of systems and processes (Wandenberg, 2015). The Brundtland Commission defined sustainable development as development which meets the needs of the present without compromising the ability of future generations to meet their own needs (UNCED, 1987). This broad definition touches on the importance of intergenerational equity. The URBAN21 conference in Berlin in the year 2000 defined sustainable urban development as the improvement of the quality of life in a

city, including ecological, economic, cultural, social, political, institutional, and components without burdening future generations (Hall, 2000). In the recent past, preserving cultural diversity and cultural capital, strengthening social cohesion and networks of relationships, and reducing destructive conflicts have been included in the definition of “sustainable development.” (Haque, 2000).

2.3.2 Goals of Sustainable Development

The overall goal of sustainable development (SD) is the long-term stability of the economy and the environment. This is only achievable through the integration and acknowledgement of environmental, material, ecological, social, economic, legal, cultural, political, and psychological dimensions (Hall & Pfeiffer, 2000). Sustainable development in its core approach as defined by the United Nations looks to balance different and often competing needs against an awareness of society’s environmental, social, cultural, and economic limitations. In sustainable development, the community members make local capital investments that will sustain human and natural resources and yield adequate financial returns to those investments (UNDP, 2016).

2.3.3 Models of Sustainable Development

The three-pillar model sometimes referred to as the triple bottom line was coined by business consultant John Elkington to describe economic, environmental, and social value of investment that may accrue outside a firm’s financial bottom line (Elkington, 2004). It is also related to sustainable development because it embraces environmental stewardship and inter- and intra-

generational equity. To meet the needs of the future populations, a proper balance of these three aspects is required as shown in the figure below:

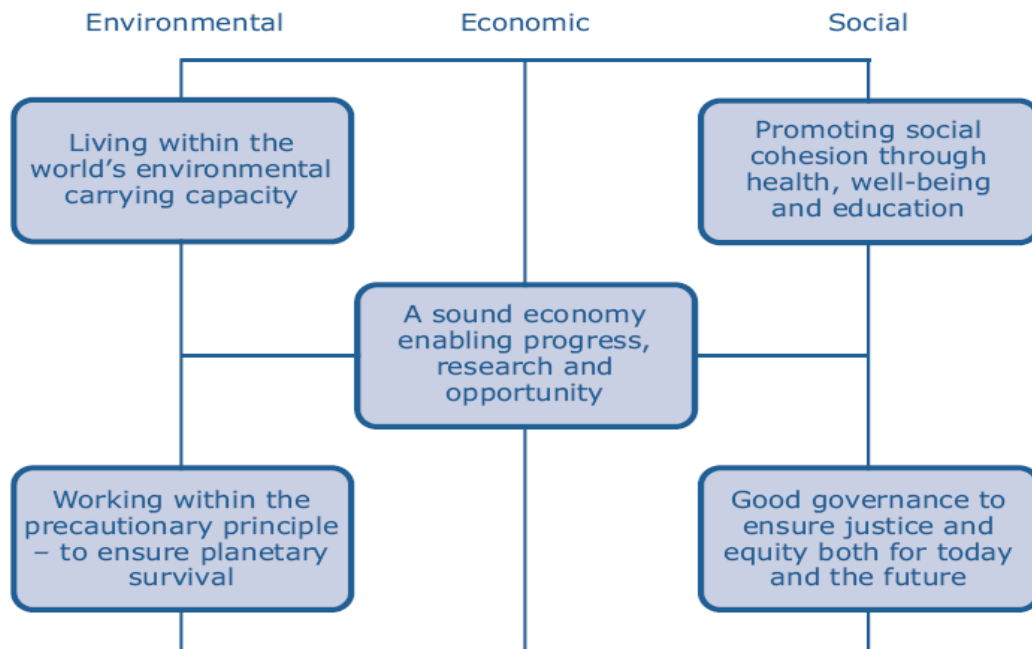


Figure 0-1 Triple bottom line

Source: (RICS, 2008)

2.3.4 Pillars of Sustainable Development

Among the multitude of definitions of sustainable development one almost constant inclusion is attention to interconnection of the environment, the economy, and society. These are generally referred to as the three pillars of sustainable development (RICS, 2008). Sustainable development, in some of its earlier iterations, was and in some cases is still depicted as three-legged stool, i.e., with the environment, the economy, and society as the legs. This model treats each of the three pillars as separate and equal entities. The underlying conceptualization of the stool is that if any

leg is less important (shorter) or missing the stool will be unstable. However, if all three legs are the same length (each pillar being given equal weight), the result will be a balanced stool that will support sustainable development. Emphasis of integrating the three aspects is maintained even though it is difficult to balance the three (Grossman, 2012). This is sometimes referred to as the “Three E’s balance rule”: Environment, Equity, Economy (Dawe & Ryan, 2003). To meet the needs of the future populations, a proper balance of these three aspects is required.

Beyond the original mainstream notions of sustainable development based on the tri-dimensional concept featuring the interface between environments, economic and social sustainability – subsequent discourse has opened up further reflection on emerging issues. In this discourse two key elements that have been identified as missing from the original tri-dimensional conceptualization are the institutional dimension and the cultural dimension.

Opinions on the “right” number of pillars diverge. Some advocate two (environment and socio- economic), three or four, and even five. In order to achieve sustainability, stakeholders should make the right choices by ensuring the right capital is produced at each stage; conservation of the ecosystem and natural resources is maintained along with provision of social services such as healthcare, educational needs and equal grounds for citizen participation (Mensah & Casadevall, 2019). It is only when the four strong sustainability pillars are active locally, can the area continue to enjoy prosperity in aspects of economic and health.

Humanity can have neither an economy nor social well-being without the environment, the pursuit of one of the elements influences the achievement of the others. The environmental pillar asserts that an environmentally sustainable system must maintain a stable resource base, avoiding over-exploitation of renewable resource systems or environmental sink functions (Dawe & Ryan, 2003). This includes maintenance of biodiversity, atmospheric stability, and other ecosystem

functions not ordinarily classed as economic resources. Some scholars argue that the environmental pillar is the floor upon which any sustainable development model must stand on, embracing it as the foundation for the well-being of a people (Dawe & Ryan, 2003). This pillar asserts that an economically sustainable system must be able to produce goods and services on a continuing basis to maintain manageable levels of government and external debt and to avoid extreme sectoral imbalances which damage agricultural or industrial production (Waas, et al., 2011). It also proposes that depletion of non-renewable resources is permissible only to the extent that investment is made in adequate substitutes. Social values are expressed by educational opportunities, crime rates, levels of poverty, active living infrastructure, access to affordable housing and healthcare (Murphy, 2012). This asserts that a socially sustainable system must achieve distributional equity, adequate provision of social services including health and education, gender equity, and political accountability and participation.

Culture has been identified as the fourth pillar of sustainable development (Hawkes, 2004). The four-pillared approach to sustainable communities recognizes that a community's vibrancy is closely related to the vitality of its cultural engagement by nurturing individual and community identity, promoting social cohesion, and contributing to the creation of "social capital." Communities with strong social capital have high rates of volunteerism and citizen involvement, have greater inclusion in the social and cultural fabric of that community and provide a wealth of sensitivity, empathy, and wisdom (Jeannotte, 2003). The culture approach to community sustainability was developed in Melbourne Australia in 2002, adopted at the Earth Summit, 2002 and is called the Melbourne Principles. Building on UNESCO's Universal Declaration on Cultural Diversity (UNESCO, 2001), the Executive Bureau of United Cities and Local Governments agreed at its meeting in Chicago on April 2010 to mandate the Committee on Culture to develop a policy

statement on culture as the fourth pillar of sustainable development which, since then, has been adopted by development actors (Throsby, 2017). Their argument was that the world is not only challenged by economic, social, or environmental issues, but also by creativity, knowledge, diversity, and beauty values which are intrinsically connected to human development and freedoms and that culture is at the heart of contemporary debates about identity, social cohesion, and the development of a knowledge-based economy (Throsby, 2017). The latter values are affirmed as unavoidable bases for dialogue for peace and progress. This new approach addresses the relation between culture and sustainable development through dual means: firstly, the development of the cultural sector itself (i.e. heritage, creativity, cultural industries, crafts, cultural tourism) and, secondly, ensuring that culture has its rightful place in all public policies, particularly those related to education, the economy, science, communication, environment, social cohesion and international cooperation (UNESCO, 2015).

2.3.5 Principles of Sustainability

The principles of sustainability offer great assistance in better understanding of various social and political issues, people's access to their country's economy and participation in their society's' decision-making processes, partnerships that seek to support communities and interventions that provide as little disturbance as possible to those that the interventions are meant to regulate (Möller, 2012).

The polluter pays principle is an important cornerstone of environmental law. This principle was included in the Rio Declaration (UNCED, 1992). It is generally accepted as an economic principle aimed at consumer protection (UNCED, 1992). The reason for characterizing the principle as an economic principle is that the implementation of the principle has cost implications

for the polluter. The polluter pays principle holds that the cost imposed on society and the environment by pollution must be borne by the polluter. The main objective of the polluter pays principle is the preservation and protection of the environment aimed at the prevention of pollution and environmental degradation. In Uganda, the principle is provided for in section 24(b) (ii) of the National Environmental Management Authority (NEMA) Act in Uganda (Ministry of Natural Resources, 1994). This is important in any slum improvement strategy and policy formulation Namatala included.

The Futurity Principle originated from the 1987 Brundtland definition of sustainability and is reflected in the often-quoted concepts regarding sustainable development (Bruntland, 1987). It speaks to meeting the needs of the present without compromising the ability of future generations to meet their own needs. In industrialized countries, people's needs for food, clothing and shelter were met and passed a long time ago (Fuller, 2005). This scenario is yet to happen for the developing nations including Uganda and Namatala in particular.

Inter-generational equity tries to distribute resources among present and future generations while intra-generational equity deals with the distribution of resources between the members of the same generation (Thompson, 2003). The primary object of the principle of inter-generational equity is the development of resources by one generation to enhance the opportunity of economic sustainability for the future generation (Thompson, 2003). The Intra-generational and inter-generational equity principles provide that the present generation has a right to use and enjoy the resources of the Earth, but is obligated to take into account the long-term impacts of its activities and to sustain the resource base and the global environment for the benefit of future generations (Loura, 2018). The main objective of these principles is to uphold future generations' rights upon non-renewable resources, which might be abused by the present generation. Both Inter-

generational and intra-generational equity require sustainability and proper distribution of renewable and non-renewable resources. This is quite true of the situation in Namatala slum in Mbale Municipality.

Partnerships are collaborations among stakeholders such as governments, IGOs, CBOs, industry groups, business, communities, and NGOs that allow each partner to leverage its unique set of expertise, efficiencies, and networks to achieve a more productive and sustainable outcome than if pursued alone (Zeldin, et al., 2005). Partnerships are important for implementing multilateral environmental agreements, raising awareness of issues relating to slum management and encouraging the collection and use of additional scientific data. Although each partnership arrangement is unique to the participants and goals involved, many successful partnerships share certain attributes. Beginning with a clear goal is important so that all partners are working towards the same end. Each partner should participate in goal development and in making decisions for how the goal is reached. Even in public-private partnerships, it is also crucial that the public interest be protected (Jomo, et al., 2016). Nevertheless, public-private partnerships can tap the vast knowledge, technical expertise, and human related resources of the non-governmental sector to further the aims of international resource management and the pursuit of sustainable development. Partnership approaches may improve interventions especially in slum management in developing countries like Uganda.

Proportionality is a test to determine whether an interference with a prima facie right is justified (Möller, 2012). The proportionality principle is concerned with the measures taken to protect human health and the environment considering technical and economic feasibility and other relevant factors as well as a country's chosen level of protection. The proportionality principle further provides that risk management measures should be proportional to the chosen

level of protection and should consider cost, effectiveness, and duration. It further requires that regulatory interventions provide as little disturbance as possible to those that the intervention is meant to regulate (Möller, 2012).

The word 'subsidiarity' is derived from the Latin term 'subsidium' which means 'to help or to aid'. Subsidiarity can be traced back to ancient Greece in the work of Aristotle (Sirico, 2014). Its meaning depends on the context in which it is used and even then, the principle can be regarded as open to interpretation. An appreciation of subsidiarity is of great assistance in better understanding various social and political issues, it suggests that people closest to the problem at hand are the ones with the strongest moral claim to finding a solution. Therefore, subsidiarity is particularly asserted as a central principle of social theory in the role of the State in empowering the individual by providing the necessary conditions for the individual to prosper (King, 2014). The State must contribute to the achievement of these goals both directly and indirectly by creating favorable conditions for the free exercise of economic activity and by defending the weakest. This is true of the people who live in informal settlements like Namatala who need to be defended through policies that limit the autonomy of the parties who determine working conditions but ensures necessary minimum support for the underclass.

As earlier stated, this study emphasizes the Brundtland Commission's definition of sustainable development (UNCED, 1987) which is founded on several other important principles that are hitherto discussed in detail. Attainment of sustainability is a social challenge that requires involvement and commitments from both international and national actors, urban planning, local and individual lifestyles, and ethical consumerism.

2.3.6 Policy and sustainable development

The Constitution of Uganda is the overarching legal framework that supports equity-focused initiatives and is in alignment with global and regional instruments and policies such as: The East African Community (EAC) Treaty (2000), The Common Market for Eastern and Southern Africa (COMESA), the Inter Government Authority on Development (IGAD), the New Partnerships for African Development (NEPAD) and the African Union Agenda 2063 (Ministry of Local Government, 1997). The Constitution expresses the commitment to “build a better future by establishing a socio-economic and political order through a popular and durable national Constitution based on the principles of unity, peace, equality, democracy, freedom, social justice and progress thus putting people at the centre of development efforts (Ministry of Local Government, 1997). This corresponds to the aspirations of the 2030 Agenda for Sustainable Development (UN-HABITAT, 2017).

To ensure that the SDGs agenda is owned by the people, the government in 2016 established a multi-stakeholder National SDG Coordination Framework, under the leadership of the Office of the Prime Minister (OPM) to coordinate the implementation of the SDGs in Uganda. Over the years, this framework has undergone some reforms to enable the country to deliver better on the agenda and is now in place at the national level and is being rolled out systematically at the subnational level. Many Local Government leaders have limited information on the agenda for localizing the SDGs and are struggling to interpret and relate the agenda to the day-to-day work under decentralization. To solve this problem, the SDG Secretariat, Uganda Local Government Association (ULGA), Urban Authorities’ Association of Uganda (UAAU) and the Uganda National NGO Forum are jointly undertaking advocacy engagements to ensure participation of all actors at the Local Government level (Ministry of Local Government, 2004). Further, a civil

society policy think tank advocates Coalition on Development and Environment (ACODE) and implements the Local Government Councils' Scorecard. This scorecard is based on performance indicators aligned to the roles, responsibilities and functions of elected district leaders as articulated in the Local Government Act and the Government's decentralization policy.

2.6.7 Sustainability Debates

Sustainability, a key debate of global importance, has brought with it a coalition of actors across governments, civic groups, academia and business (Scoones, 2016). It has created an important momentum for innovation in ideas, political mobilisation and policy change. Different interpretations exist on the issue of sustainable development since its appearance and establishment (Osorio, et al., 2009). Within these interpretations, a characteristic generation of diverse debates arising from different perspectives, academic as well as ideological, aiming at describing, clarifying and determining their conceptual reach have arisen.

For many commentators writing post 2000, the simplistic managerialism of many initiatives labelled 'sustainable development' left much to be desired (Berkhout, et al., 2003). Critiques focused on the lack of progress on major targets set in 1992, the endless repackaging of old initiatives as 'sustainable' this or that, and the lack of capacity and commitment within governments and international organizations to really make the ideals of sustainability real in day-to-day practice (Vogler & Jordan, 2003). With the default bureaucratic mode of managerialism dominating – and its focus on action plans, indicators and the rest – the wider political economy of sustainable development was being missed out.

Consequently, the coalitions formed around and following Rio (UNCED, 1992) became fragmented, dispersed and turned in on themselves. From the late 1990s there has been revival, but in different guises, of sustainability debates especially in politics. The 2002 post-Rio conference in Johannesburg attracted much dissent especially around the GM debate, for example, where anti-GM activists and social movements were pitched against corporations who had re-branded themselves as committed to ‘sustainable agriculture’ globally (Hens & Nath, 2005). More generally, there was a hot debate as to whether the ‘sustainable development’ mainstream had sold out to the needs of business and global capital or whether such accommodation and dialogue with big business was the only route to getting corporate responsibility around sustainability issues (Hens & Nath, 2005).

Another argument has been the discrepancy between the two concepts; sustainability and sustainable development differ as to how the final objectives are pursued. Sustainability poses an indisputable argument, because whatever the final objective is, it must be conjugated with balance in the use and spending of natural resources. Sustainability is one of the most used buzzwords of the past two decades. Sustainability has become, par excellence, a ‘boundary term’ - one where science meets politics and politics meets science (Gieryn, 2018). Scientific concerns, drawing from ecology, economics and politics, merged with specific political and bureaucratic agendas in a process of mutual construction of both science and policy. Alliances were formed spanning government, NGOs, private consultants and academia, linking often unlike organisations and individuals, both North and South. A word had created a whole network, loosely affiliated around a set of often rather vague and poorly-defined understandings of a complex and rather ambiguous concept.

The implicit generality of this definition, together with the transcendence associated to the concept, has stimulated massive response from diverse academic fields, which have tried to limit the conceptual reach of sustainable development according to their own area of knowledge. Despite the efforts made, no conceptual agreements on sustainable development have been reached (O'Riordan, 2002). The literature shows serious controversy on the issue. Criticism on the primary definition, its objectives, the coherence of their strategies and even the reasons that caused its appearance has been made from different disciplines, political standpoints and even the civil society. A model of categorization for sustainability debates has developed, catalogued into four realms: conceptual, contextual, academic and geopolitical in accordance with the general characteristics of the different analyses.

The conceptual debate includes the works on sustainable development that focus on the study, of its etymological origins, the semantic features of the phrase and the analyses of the concept carried out from a linguistic point of view (Johnstone, et al., 2007). This debate puts into question, from a linguistic point of view, the validity of the use of the concept in different cultural contexts, even when these concepts may have opposite or contradictory connotations. From other areas, criticism has focused on the existent ambiguity between the concepts that form the phrase 'sustainable development', a combination that shows incompatibility between systems of thought. Within the contextual debate, the contexts of sustainable development, the institutional and academic standpoints of the concepts are alluded. The institutional stance refers to the agreements and strategies involved in the concept of sustainable development, which have been reached by an international consensus through diverse conferences and world summits sponsored by the UN. Environmental scientist Timothy O'Riordan warned: "It may only be a matter of time before the metaphor of sustainability becomes so confused as to be meaningless, certainly as a device to

straddle the ideological conflicts that pervade contemporary environmentalism." (O'Riordan, 2002)

The academic context of sustainable development is related to the scientific approach, which has been on the base of political institutional debates since its very beginning, as the original cause of the emergence of the concept. A first analysis of the concept of sustainability has divided it into 'Normative' and 'Positive'. The first refers to 'what it should be', and the second to 'what it actually is'. Positive sustainability deals with the scientific analysis of sustainable development and sustainability, from the economic and ecological bias mentioned above. However, an agreement on 'what must be sustained' has not yet been reached (O'Riordan, 2002). On the other hand, 'Normative' sustainability is what has been referred to as 'institutional'. It involves the agreements and proposals generated within the conceptual frame of sustainable development originated at the international meetings sponsored by the UN since 1972.

The disciplinary debate is partially linked to the academic context, but it also focuses on the evolution of the research model that is required to face the complexity of the situation created by the emergence of sustainable development (Camaren & Mark, 2014). It shows that new scientific approaches are being incorporated, such as complexity theory, system dynamics, or transdisciplinarity, giving birth to a new scientific age that could be characterized as that of the trespassing of disciplinary limits and the rising of new epistemological models (Camaren & Mark, 2014). The disciplinary debate, from the epistemological point of view, is configured as an emergent area that includes theoretical, conceptual and methodological proposals, which aim at explaining the evolution in the areas of knowledge traditionally involucrate in the analysis of sustainable development. As a result, the appearance of new disciplines is proposed.

Debate has also flourished around the pros and cons and the successes and failures of the divergent routes of the Rio commitments - between local solutions (around Agenda 21) (Hall & Pfeiffer, 2000) and international legal processes (around the global conventions). Some groups argued that local solutions had shown more promise, particularly where intransigent governments subject to extreme corporate lobbying pressure (notably the US, but perhaps increasingly in Asia) were unable to realise any sustainable development goals, yet cities and neighborhoods could make great strides towards, for example, climate change, green space conservation or recycling targets. Others, by contrast, argued that the big sustainability agendas remain global, and with an increasingly globalised economy and inter-connected world, seeking some form of international agreement on such issues remained, despite the pitfalls and obstacles, a key objective for achieving sustainability (Newell, 2001).

The geopolitical debate, also known as the North–South debate, is related to the theoretical-ideological analyses which put the division between developed and underdeveloped into question, being the basis for the distinction the concept of ‘development’ of the Western countries (Whalley, 1984). The conceptual difficulties with the issue arise chiefly because of a lack of clarity and definition about what "sustainable development" means. Most discussion begins with the UN World Commission on Environment and Development's 1987 definition: "To meet the needs of the present without compromising the ability of future generations to meet their own needs." (UNCED, 1987) This definition is too vague, general and "inexact." to be helpful. Even some environmental groups have expressed misgivings about the plastic nature of sustainable development. Greenpeace once described sustainable development as the "deceptive jargon" of anti-environmentalism (Johnstone, et al., 2007).

The distinction between the political and the scientific is common in both concepts. From this complementariness between the two domains, integral concepts are generated: that of sustainable development and 'integral sustainability'. However, this apparent similitude as regards the analytic structure developed about both concepts does not match the philosophical and ideological background underlying each one of them (Osorio, et al., 2005). In this sense, both concepts differ. Whereas sustainability refers to the capacity of keeping a state, sustainable development implies a process, which is integrative in essence, and that tries to maintain a state of dynamic balance in the long run (Scoones, 2016). Therefore, integral sustainability may be considered as the central idea of sustainable development: the origin, the spatial and temporal character, and the contexts or reference systems integrated in a development process. A mixture of the concepts and the process towards believing that they are just one brings up an arduous ethical dilemma, which is more relevant than usually accepted.

In conclusion, the configuration of these four areas of debate, as well as the recognition of the diversity of interpretations existing on sustainable development, is a reflection of the intrinsic complexity of the phenomena, which affect the natural and social world, both at the local and global level. The analysis of this complexity is based on the subjectivity, which is inherent to the interpretation of these phenomena, with permanent reference to the cultural context from which the diverse discourses were structured (Osorio, et al., 2005).

2.4 Urbanisation

2.4.1 Meaning of Urbanization

The criteria for defining what is urban varies from country to country (Mcgranahan & Satterthwaite, 2014). Urbanization refers to the process by which rural areas become urbanized resulting in a shift in population from rural to urban settlements (Mcgranahan & Satterthwaite, 2014). Demographically, the term urbanization denotes the redistribution of populations from rural to urban settlements over time.

2.4.2 The rate of Urbanization

The urbanization of the developing world began to accelerate in the late twentieth century (Molla, 2015). Transition from the twentieth to the present century marked a new and more striking era of global urbanization. In 2008, the world crossed that long-awaited demographic watershed of half of the people on earth living in urban areas. Developing economies are also urbanizing rapidly. By 2014, Sub-Saharan Africa was urbanizing at 3.6 percent which is double the world average (Phillips, 2014).

However, there was no clear trend in the overall urban growth in less developed countries, perhaps due to inconsistent definition of urban and the lack of quality in their census data (Cohen, 2004). This is largely because of two main reasons: The natural increase of population and rural to urban migration influenced by economic growth and development and by technological change (Rahman, et al., 2018) and, also, by conflict and social disruption. It is driven by pull factors especially employment and attraction to urban lifestyle and push factors which include poor living conditions and the lack of opportunities for paid employment that drive people away from the countryside.

Further acceleration of urbanization going forward is likely to raise the share of the world's urban population to 80% by 2030 (Bolay , et al., 2016). Urban centers in Uganda must be prepared to house more than 20 million people by 2040 due to the influx of migrants from the rural areas to the urban centres in search for jobs and opportunities to access social services (World Bank, 2015). Undoubtedly, most of this population will end up in slums due to inadequate and unaffordable housing if nothing is done to curb or manage this.

Rapid urbanization places huge demands on infrastructure, services, job creation, climate, and environment. One of the most visible outcomes of the rapid urbanization has been the persistence and formation of slums. In the face of official neglect, slum dwellers plan their survival by themselves. The slum areas are characterized by insufficient living space, poor housing, poor access to water, lack of secure tenure and lack of sanitation facilities (Richmond , et al., 2018). The major issues in slums are, therefore, social, economic, environmental, cultural, and political in nature. This widespread and official neglect needs to be transformed into policies and plans to markedly improve their plight. However, this urban transition presents significant opportunities too, with vast potential for emerging cities to act as powerful and inclusive development tools (Brown , 2012).

2.4.3 Urban Informality

The urban informal economy is growing rapidly where formal economic growth has not been commensurate with urban population growth. Informality, once associated with poor squatter settlements, is now seen as a generalized mode of urbanization where activities are largely ignored, rarely supported, often regulated, and sometimes actively discouraged by the Government (Roy,

2007). Nearly 54 percent of global population lives in cities and this produce around 80 percent of global GDP (UN-HABITAT, 2016).

A combination of factors has brought the informal sector into the mainstream discussion on economic development. First, the term "informal sector" was able to incorporate activities that were earlier ignored in theoretical models of development and in national economic accounts into the discourse on development (Maliyamkono & Bagachwa, 1990). Most activities in the informal sector are excluded from standard measures of economic production (Roy, 2007).

Economic informality is a critical component of informal settlements, which is why more recently, the term informality has expanded to describe lack of land tenure, poor housing conditions, and inadequate access to basic services and amenities (Okyere & Kita, 2015). Current literature also further explains informality to incorporate elements of behavioral, social, and governance elements (Richmond , et al., 2018). Behavioral informality refers to individual and collective activities that occur outside the state norms, which often comprise economic activities.

The fundamental motivation for people to engage in informal activity is the scarcity of resources. It is argued that whether it stems from land, food, or service scarcity, the poor engage in informal activity because “their only alternative is to live and work outside the official law” to cope and survive (De Soto, 2001). However, strictly limiting informality to a survival mechanism is inaccurate. Informality compliments the formal economy and form numerous forward, backward, and ancillary linkages in almost all urban elements (Maliyamkono & Bagachwa, 1990). People are drawn to the informal sector because it offers economic flexibility in the context of volatile markets, direct bargaining power, less vulnerability, and better returns on investment.

Formalization frequently does not address underlying structural inequalities inherent in global market regulation (Lince, 2011). For example, in Jinja, Uganda people pursue informal activities because it offers them greater protection and control over their livelihoods. Informal activities are easy to enter into, rely on indigenous resources, owned by families, are small scale and often the skills require to run them are outside the formal school system (Lince, 2011).

The informal sector activities include those of petty traders, street hawkers, shoeshine boys and other groups ‘underemployed’ on the streets of the big towns. This kind of employment is economically efficient and profit-making, though small in scale. Within the latter part of the informal sector are employed a variety of carpenters, masons, tailors, and other tradesmen, as well as cooks and taxi-drivers, offering virtually the full range of basic skills needed to provide goods and services for a large though often poor section of the population (Maliyamkono & Bagachwa, 1990). The role of informality in contributing to urban resilience goes without saying, the informal sector exhibits several of the key characteristics of urban resilience, particularly around flexibility and resourcefulness, it is a critical part of the fabric of the city.

2.4.4 Slum formation and Growth

The growth of slums has been influenced by many factors among them rural-to-urban migration/uncontrolled urbanization, poor urban governance, location, and poorly designed policies.

Rural-to-urban migration

Rural-to-urban migration is a major driver of urbanization and growth of populations in cities. Developing countries are especially impacted given the low capacity to cater for the influx from rural areas (Addas, 2015). Rural people are mostly attracted (pulled) to cities by perceived better economic opportunities, provision of basic services such as education and healthcare within cities (Khan & Kraemer, 2014) or freedom from restrictive social or cultural norms often found in rural areas (Mahabir, et al., 2016). Push factors include poverty, threat from natural disasters or conflict and war. Despite these pull factors, economic growth is seldom experienced by these migrants resulting in the growth and persistence of slums (Fox, 2014). With nowhere else to go, migrants end up in slums to meet their most basic housing needs (Vasudevan, 2015).

Poor urban governance

Poor urban governance is significant as most developing countries often lack or have poor regulations to control slum growth. These regulations are often bypassed by slum dwellers to meet their housing needs (Mahabir, et al., 2016). Local and national governments also fail to enforce the planning regulations due to lack of resources. In Nigeria, the fees involved in the registration process to acquire land can be as much as 27% of the property value (World Bank, 2005). This presents a challenge for slum dwellers who do not have access to these finances. Such regulations ultimately result to high rates of insecurity of tenure, providing uncondusive conditions that continue to drive the growth of slums due to poorly functioning land markets.

Location

Location is affected by social, cultural, and economic factors. Commuting costs, preferences for community and access to local public goods were found to be sufficient for the slum dweller in Pune India (Lall, et al., 2008). It was established that the location-based choices made by slum dwellers were also guided by the quality of housing and social amenities. There is a significant relationship between social ties, language and common culture which have been found to influence locational choices of new immigrants (Barnhardt, et al., 2017). In addition, those born within or near slums tend to remain in them or move to them, respectively (UN-HABITAT, 2003). On the other hand, some slum dwellers perceive places outside of slums to be out of their reach (Brookins, et al., 2011). This suggests that any efforts to address the issue of slums must also consider the surrounding social structures.

Physical factors such as the availability of land and rental costs impact the location of slum dwellers. Slums develop in marginal locations such as steep slopes, riverbanks or dumping grounds (Sietchiping, 2005). Slums that exist in such locations pose risks to human life and are unsafe for the slum dwellers. Namatala is one of such slums located on a wetland and at the banks of River Namatala (Mafabi, 2016). These uniquely existing conditions and features of slums such as Namatala and their complex interplay with the various environmental, cultural and socio-economic factors that relate to their growth and prevalence exhibit a challenge yet to be addressed adequately by local and international authorities.

Poorly designed policies

Poorly designed policies created by local and regional led organizations to curb the growth of slums nevertheless result in the growth of slums. The continued failure of implementation of sound

slum policies has facilitated the propagation of slums. In part, this is due to the inability of governments to fully understand the needs of slum dwellers and incorporate their needs when developing appropriate policies (Brown, 2012). There is, therefore, an emerging great need for policy makers to engage with both progressive and retrogressive slum policies for the benefit of slum dwellers. There is a belief that a permanent and long-term solution to the problem of slums cannot be about the slums themselves but in focusing not only on providing better housing for slum dwellers but also on promoting livelihood options along with improving social and economic infrastructure (UN-HABITAT, 2003). They should address the issues more systematically, understand these actors and processes better and be able to identify when and how to support them more effectively (Twigg & Mosel, 2018).

2.4.5 The form and evolution of Slums

Slums are increasingly being viewed as integral places to a city as the slum population provides cheap work force, which actually helps develop and improve the city's economy. In this regard, slums need proper planning, control and management (Alfred, 2011). While planning for future urban expansion and development, it may be better to produce a simple spatial strategy document that could be updated every year by staff of a city's urban planning department. The emphasis of such a document would be on the current spatial situation and spatial trends whose objectives would be on ensuring housing and land affordability and adequate mobility (World Bank, 2012).

Challenges of urbanization in Uganda include: uncoordinated planning and development, leading to uncontrolled sprawling of the major towns (World Bank, 2012), it also includes, weaknesses in administration, institutions, legal normative framework and overall planning, and

weak coverage of basic infrastructure services, notably water, energy, and sanitation, which makes it difficult to improve welfare in the urban environments (Brown, 2012). Although most scholars argue that making cities safe and sustainable means ensuring access to safe and affordable housing and upgrading slum settlements (UN-Habitat, 2003; Amoako & Cobbinah, 2011), each city should be looked at bearing in mind its uniqueness and what works in the context of the social, economic, cultural and environmental factors at play (Cohen, 2004).

Slums have been in existence since the beginning of urbanization and are therefore, have been an inevitable part of modern urbanization and the choice, therefore, is to decide the vision for the slum of the future, the role of the slum, its design and purpose and how it can be transformed to create assets rather than liabilities (Brown, 2012).

Since slums are an inevitable part of modern urbanization, it is imperative that policies and decisions should be made that lean towards slums as creators of wealth rather than liabilities (Brown, 2012). In this study, focus will be laid upon economic, social, cultural, and environmental aspects of Namatala slum, and the interaction by various agencies, including the government, third sector groups and the slum dwellers to bring about sustainable development (Avis, 2015).

Slums are vibrant communities of people which have integrated a whole range of social and community spaces where the vibrant mixing of different cultures results in new forms of artistic expression. They form hubs of economic growth and if effectively managed, represents a large opportunity to simultaneously increase economic productivity and relax environmental pressures. Cities need to recognize that the urban poor are active agents of economic growth. Policy makers should thus be concerned with how to integrate slums into the cities in a sustainable way rather than with slum eradication (Sori, 2012).

The absence of adequate knowledge on the evolution and subsequent development of slums over the course of time in Sub Saharan African (SSA) countries has resulted in ineffective urban planning and prevented the initiatives from alleviating the problem. The knowledge gap compounded with the lack of relevant theories and concepts developed from empirical analysis to explain the evolution, growth and spatial characteristics of Slum Development Stages (SDS) have led to persistence of slum-related problems. This calls for critical and empirical research and consultation with the stakeholders into the situation in the numerous slums in order to propose strategies for promoting livelihood options for the socio-cultural and economic infrastructure required. However, the little study of SDS in the context of rapidly urbanizing city of SSA has also contributed to this problem. Although international, national, and local initiatives have made significant efforts to tackle the problem, the rapid growth of urbanization and the trend of population growth in SSA has eclipsed their efforts (Sori, 2012).

In Uganda, the second national government development plan reports that the progress in improving the lives of slum dwellers has been slow (National Planning Authority, 2015). There is thus a need to formulate policy that can break the cycle of exclusion and injustice for the urban poor.

2.4.6 Slum improvement

In the early Twentieth Century, slum improvement programs in many countries were equivalent to slum clearance. Beginning in the 1970's the strategy shifted to in situ improvements of existing housing by providing slum dwellers tenure security, and the building of new housing (through slum upgrading) and physical eradication of slums, these, on their own have not solved the slum problem (UN-HABITAT, 2003). Generally, slum improvement like any other programme

requires participation of various stakeholders to deal with physical, socio-economic issues and political issues in the area. These stakeholders range from Government agencies to NGO's, the community and CBO's.

Scaling up slum improvement is essential in order to match with the growing slum population. This is challenging as it will require substantial financial resources that the central and local governments may be lacking. Participation or involvement of other actors is therefore crucial for such development vision to be realized (World Bank, 2005). The actors in such activities include: the national governments, international organizations, local governments, the residents, private investors, NGO's, the media, civil societies, and international developers (Bebbington, et al., 2008). The inclusive role of the tri-sector partnerships is to enhance an enabling environment for slum upgrading process through provision of secure tenure, utilization of community or local labour to develop small infrastructure works, revising building codes and enabling access to financing resources (UN-HABITAT, 2003).

Approaches to slum improvement vary from direct program implementation to much higher levels of "partnership" arrangements where the implementer is a local NGO, or CBO. This is based on an evolution of development thinking that prioritizes local ownership, community participation, as well as efficiencies and effectiveness. The language of partnership has become firmly embedded in all aspects of development discourse from the level of CBOs right up to the largest multilaterals (Glennie, et al., 2012). The use of local implementing partners has emerged as a core development approach and is evolving alongside much more focus on market led development approaches, value chain approaches and making markets work for the poor.

The slum upgrading and service provision project of Mathare 4A area of Nairobi, Kenya which started in 1997 demonstrates the strengths, weaknesses, and potential of tri-sector

partnerships (Otiso, 2003). The project involved the improvement of living conditions by constructing 8000 rooms, business stalls, kindergartens, a street lighting system, a road and footpath network, a water and sewerage reticulation system, one “wet-core” (shower-toilet-washing slab) per 10 households and a water drainage system to benefit 20,000 to 25,000 residents at its completion (Otiso, 2003). Each partner played a role based on their strengths and in agreement. The governments of Kenya and Germany, representing the public sector provided the funding. The Kenya government also provided the land and the necessary legal and infrastructural support, the private sector provided the engineering work, building, appropriate technology and other standards, the NGOs initiated the project and acted as project manager, an advocate for the poor and as community mobilizer ensuring smooth project implementation. The community members contributed money, labour, and logistical assistance in identifying bonafide project beneficiaries, as well as political support such as opposition from displaced slumlords (Kigochie, 2001), however, the local people felt alienated and thus the project did not meet the desired results, showing that, while community support is essential, it is not easily attained in “top-down” approaches. This could be true of Namatala projects.

An example of slum improvement activities in Uganda was undertaken in 2003 by the National Slum Dwellers Federation of Uganda (NSDF-Uganda) a membership-based organization which was founded in 2002 in order to involve the participation of organized slum dwellers around the basic processes of daily savings, capacity improvement, participatory enumerations and peer learning exchanges and the government through the Department of Human Settlements, in collaboration with Slum Dwellers International (SDI) (GoU, 2008). The program involved the launching of the Slum Upgrading Program (SUP) in three parishes (Kisenyi I, Kisenyi II & Kisenyi III) of Kampala Central Division. The project was aimed at among others conducting

slum profiling, housing demonstrations sensitization, mobilizing communities into saving and loans schemes and infrastructure development (GoU, 2008), it was latter rolled out to other 5 secondary cities including Arua, Jinja, Mbale, Mbarara and Kabale. The enumeration exercise was a success with some housing demonstrations but once the funding of the project ended, it was shelved. However, the savings groups have continued not only in Kisenyi but in the other secondary cities, Mbale included, through the Transforming Settlements of the Urban Poor in Uganda programme (TSUPU). This programme was a partnership between the Government of Uganda and Cities Alliance aimed at managing rapid urbanization and improving living conditions of the urban poor (MHLUD, 2010).

Despite the availability of legal, institutional and social provisions to supply housing and basic services to the urban areas, many governments are unable to meet these needs because of administrative, financial, and institutional weaknesses coupled with poor planning and rapid population growth (Otiso, 2003). The decentralization policy exists to allow local Governments to run their programs, however, the administrative structures are usually hierarchical and often unable to respond to the needs of the urban poor, there is also misallocation of resources due to corruption, nepotism and its domination by elite groups using their political power to enhance their interests at the expense of the poor (Syagga & Kiamba, 1992). As such, slum upgrading has been implemented through isolated projects that lack any comprehensive spatial vision or wider context.

The problem of unsustainable urban growth in Uganda and slum improvement can be better solved through bottom-up multi-stakeholder involvement than the ‘top-down government approach. Improving living conditions for slum dwellers and transforming their lives, particularly through participatory partnership programs, lie in appropriate place centered policy development and are mainly at the heart of the 2030 Agenda for Sustainable Urban Development Goals (SDGs),

in the five areas of critical importance for humanity: People, Prosperity, Planet, Peace and Partnership” (UN- HABITAT, 2012)

2.4.7 Gentrification

Gentrification is a shift from informal to formal settlements as slums become more established. This is recognized as a common phenomenon around big cities. In the recent past, there has been a process by which working class residential neighbourhoods are rehabilitated by middle-class home buyers, landlords, and professional developers (Zuk, et al., 2017). In this regard, a debate is emerging as to whether gentrification and urban re-development are temporary or only the beginning of a long-term restructuring of urban space.

The European Commission articulated the hypothesis that, urban policy planners and implementers need a better understanding of the dynamics of urbanisation in order to design (and implement) innovative, inclusive and sustainable urban policies within the context of socioeconomic development characterised by increasing population, reduced pressures on social services and natural resources, job creation, reduced urban risks and crime, and better ways of improving the quality of life of urban citizens (European Commission, 2013).

This hypothesis is further based on Hassan’s observation that, “Urban planners and administrative bodies” require reliable information to assess the consequences of urbanization, to ensure a sustainable functioning of megacities and to minimize negative impacts of rapid urbanisation. (Hassan, 2011) Urban expansion that takes place in an unplanned manner is usually a result of administrators’ lack of or limited information about its dynamics.

Different studies on urbanisation dynamics indicate that a comprehensive understanding of urban dynamics is crucial, especially on matters related to urban policy development since policies can effectively assist in addressing negative urban consequences and also ensure that further urban changes occur in a systematic and satisfactory manner (Atkinson & Marais, 2006; OECD/European Commission, 2020; Jiboye, 2011; UNFPA, 2007; Batra, 2009; Bannon, 2004)

Scholars such as (Hailu, 2012; Seto, et al., 2012; Storeygard, 2012; Netto, 2011; Henderson, 2005; Katz & Coleman, 2001) observe that planned urbanisation results in the development of cities and towns that not only serve as mere spaces for habitation, production and services but also as vital centres and shapers of socio-economic development, spatial planning, and residential quality.

Moreover, (Brown , 2012; Brown, 2013)) analyses Uganda's urban policy with emphasis on Kampala from two different perspectives. In the first perspective, Brown observes that the planning of the National Urban Policy for Uganda (UNUP) does not pay attention to full participation of the different key stakeholders, including NGOs, CBOs, the academic community, the private sector, and the different levels of government. Brown argues that these are vital dynamics that could have been considered and understood in order to ensure that Kampala urbanises in a systematic manner. Essentially, Brown's argument indicates that the two dynamics (planning & National Urban Policy) are not catered for in a manner that would have enabled the UNUP to be effective in guiding Kampala's urbanisation in a planned manner.

2.5 Social, Economic and Environmental Factors Influencing the Development of Urban Areas

2.5.1 Social and Cultural factors

Social sustainability can only be achieved through delivery of material well-being, including education and access to the goods and services necessary for decent living and social, cultural, and political achievements. This will include a sense of security, dignity, and the ability to be part of a community through recognition and representation among others. Poverty is significant and slums have become a haven for individuals who, in one way or another, have failed or are unable to get the material well-being linked to social sustainability (Lucci, et al., 2018). The impact of poverty on educational attainment and social mobility in the slum areas continue to haunt the large populations of people living in slums. This hampers prospects of people living in areas of high concentrations of poverty to move into working- and middle-class settlements. Once a poor individual becomes a resident in a low-income area, then their exit can only be facilitated by an extensive planning and intervention (Jarret, 2013). This notwithstanding, cultural and social barriers deny children from slums the opportunity to attain quality education, leaving most of them illiterate throughout their lives. Most of the children in slum areas have no access to any formal education while very few of them only manage to complete primary education (Jarret, 2013).

Social and political exclusion is a practice that is often felt by slum dwellers. Most slums across Africa are ignored by government, such governments take for granted slum dwellers' civil rights. City development plans are made without their knowledge, some lack protection under the law (Arimah, 2010). Women and girls in slums do not afford time for education as they are burdened with homecare which includes taking care of their children and siblings, respectively. Both women and girls in slums have increased chances of sexual assault when they visit toilet

facilities at night given the poor or lack of sanitation facilities (Nallari, 2015). Other forms of social issues that affect slums are crime, violence, drug use and excessive alcohol consumption (Spooner & Hetherington, 2004).

With their inherent problems, slums have particular characteristics; houses in slums are some of the smallest possible, with most of the rooms in these shelters used as multi-functional spaces for living and family interaction, as examples of optimum utilization of living spaces. Slum dwellings are people's own solutions to their housing needs, they are the most affordable housing in each locality (UN-HABITAT, 2003). Slum-dwellers use minimum building materials to create their houses with easily available local building materials. The physical environment in slum locations such as housing quality, overcrowding, cost and lack of open spaces have been known to increase the prevalence of alcohol and drug use, including domestic violence, the deprived circumstances expose people to inadequate systems of social justice with no structures to revert to for help (UNODC, 2006). To address some of the issues will require a cultural shift that takes time and a community's willingness to engage in the change.

2.5.2 Economic factors

Developing countries yearn for a growth in economy which will be sustainable to ensure better living conditions for its citizens. Economic growth is a requisite to reduce the proportion of people living in slum areas. The greatest prevalence of slums in any given country significantly correlates to various aggregate economic indicators like the debt stock and debt service, GDP per capita (negatively) and inequality (positively) (Arimah, 2010). Slums are often conceived as poverty traps, a view that assumes that the prevalence of urban poverty and consequent slum development are a result of underdeveloped markets and lack of economic development (Bagheri, 2013).

Besides being trapped in a low-human-capital equilibrium, slums exhibit dysfunctional institutions that include poor access to proper housing, underdeveloped infrastructure and low levels of physical capital. Often slums are thought of as areas of depressed public and private investment which neither the government, social network agencies nor the broader society has managed to organise so as to provide for the widespread provision and maintenance of public services, including clean water, sanitation, garbage collection, a social safety net, and the legal infrastructure of property rights that allows for an effective market in land and housing (Laing, 2014).

One of the elements of economic instability in slums is the informality of property rights. Without formal land titles, slum dwellers lack incentives to improve the quality of their homes and neighborhoods (UN-HABITAT, 2003). Informal settlements have typically emerged on vacant government land, which implies that the property rights over the land held by individuals living there are highly liquid, although they may be locally enforceable. There are low investment levels in slums, a factor attributable to high rent premiums that slum dwellers pay due to the proximity to the city (Gulyani & Talukdar, 2008).

Usually, banks do not give mortgages to residents of slums because they are considered 'unbankable.' Lacking the support of a financial institution, slum dwellers must incur costly interest charges from loan sharks and shylocks, a factor that condemns them to further impoverishment (Gulyani & Talukdar, 2008). It is important to consider that many people in slum communities are employed in informal (alternative) economies (Cities Alliance, 2011). The alternative economies include activities that may be deemed illegal, such as prostitution and narcotic trade. Other activities may include various aspects of domestic work, mechanical work,

textile and clothes making, toilet attending, or gathering and recycling materials or the production of crafts (UN-HABITAT, 2003; Maliyamkono & Bagachwa, 1990).

2.5.3 Environmental factors

The growth of slums coupled with poor planning and poor governance adversely affect the city's livability and environmental quality. The environmental quality, especially within the slum areas, is degraded, lacks provision of basic water and sanitary facilities (Kimani-Murage & Ngindu, 2007). Poor waste management in slum areas lead to direct or indirect disposal of both household and human generated wastes into the low-lying lands, surrounding open spaces or water bodies thus polluting water that lead to diseases. Some settlements have communal toilets that are generally unsatisfactory (Arimah, 2010). Accumulated waste creates mountains of garbage that are the homes and work sites of scavengers and are also breeding sites for rodents and insects such as mosquitoes, which carry dengue fever and malaria.

While proper housing is a very important factor for children's psychosocial development, the practical situation of slums indicates a life of poor lighting, low ventilation, over crowding and living and cooking either close to or at the same place (UN-HABITAT, 2003). All of the buildings in slum quarters are made of low-quality materials with no construction standards. Most of them hold a single room for the whole family that makes the slums very congested.

Despite increased global awareness about the presence and persistence of slums, the health of slum dwellers is a little-studied phenomenon. Health and child mortality among people living in slums is a major social problem affecting slum areas (Hove, et al., 2011). What threatens health in the slums mostly is the lack of access to sanitation and clean water. Although recent upgrades have improved such conditions across the globe, majority of slum dwellers continue to lack access

to sanitary systems within their homes. Some slums have public sanitation systems that may be accessed at a fee. Slum dwellers turn to the use of “flying toilets”, which translates to plastic bags used to hold the products of defecation that are then tied, closed, and flung as far away from their houses as possible (Ondieki & Mbegera, 2009). The “flying toilets” contribute to several associated diseases.

Food and nutrition security is critical for economic development due to the role of nutrition in the growth and development of human capital. Children living in slum areas experience food insecurity since most parents are out on the streets vending. This leads to malnutrition and thus poor physical and intellectual development (Kimani-Murage & Ngindu, 2007).

2.5.4 Political Factors

Development practitioners are increasingly aware of the role of political factors in shaping development outcomes. A World Development Report (World Bank, 2005) emphasizes the importance of understanding how inequalities in power and wealth translate into unequal opportunities, which lead to loss of productive potential and increased political instability. The report also asserts that political power relations tend to reflect and shape social and economic distribution patterns in the so-called “inequality traps” that constrain economic growth and poverty reduction and increase social tensions. Corruption in the sub-Saharan countries has contributed greatly to income inequalities, poor governance and inequality of opportunities (Ganahl, 2013). As a result, there is expenditure biases that favour the more privileged in society thus marginalizing the slum population.

2.6 The Role of Urban Policy in in the Development of Informal Settlements

Public policy could be defined as ‘government action (or inaction) with regard to a particular issue affecting the general population (Nagel, 2002). Such issues might concern natural resources, technology, infrastructure, human capital and the environment/energy and, particularly relevant, social problems (Bakir, et al., 2018). Policy serves as a mediator between the government and the rest of the social system. (Geva- May, 2005). It is the interface between the governmental and non-governmental parts of society (Campbell & Pedersen, 2014).

Assessment of the effectiveness of urban policy and the improvement of the policy-making process, policy analysis, has been a growing emphasis in the area of policy study (Burton, 2006). Policy analysis can further be defined ‘as an applied social science discipline that uses multiple research methods in a context of argumentation, public debate, and political struggle in order to create, critically evaluate, and communicate policy-relevant knowledge (Dunn, 2005). For an effective implementation of urban policy, it is important to understand the policies that influence the urbanization process. One of the approaches to this was recognized as evidence-based policy-making with more use of rigorous analytical techniques (Burton, 2006). However little research has considered how evidence is constructed by policy-makers (Legrand, 2012) . Since acts or laws are enacted to ensure that urbanisation takes place as desired, the occurrence of unplanned urbanisation brings the realisation of their intents into question, and hence the need to investigate them. The results are useful in considering policy measures to enhance quality of life.

Urban planners who are in charge of designing the built environment are interested in how planning affects residents’ satisfaction with urban living and sustainability (McCrea, et al., 2006) questioning ‘how do we know that planning contributes to individuals’ quality of life?’ A number of studies have been carried out to examine the impact of these policies on various parameters.

(Bidandi, 2015), investigated the dynamics or changes explaining Kampala's urbanisation from 1990 to 2013 with a view of analysing their implications regarding the city's planning process. This analysis was carried out because of the city authority's failure to contain the haphazard manner in which Kampala was urbanising. It was noted that policies being applied to guide the planning process were not effective as far as dealing with the rapid urbanisation that was place. The study sought to answer the question by analysing the dynamics in terms of the flaws that cause urban policies and legal instruments applied in Kampala to fail to guide the city to urbanise in a planned manner, and also to answer the question as to why urban policies in Uganda have failed to lead to planned urbanization.

Different factors account for urbanisation of different cities around the world (McGranahan & Satterthwaite, 2014). The dynamics of urbanisation differ from country to country, depending on the policy adopted to pursue the process. These include factors ranging from legal through economic, social, technical and political to policy dynamics that explained the way Kampala urbanized between 1990 and 2013 (Bidandi, 2015). According to him, policies aimed at improving the status of the city might have a negative effect on the urbanization process.

Another policy that has led to the development of informal settlements is the decentralization policy. The decentralization of political authority to local governments leads to the emergence of opportunities for national partisan struggles which influence the quality and quantity of the city's service delivery (Lambright, 2011). In a study of the dynamics responsible for urbanisation in BRICS (Brazil, Russia, India, China and South Africa) countries, it was found that economic liberalisation encouraged in China from 1980 to 2010 explained the rapid development of megacities in this country (McGranahan & Satterthwaite, 2014).It was however

found that in India and Russia, liberalisation was not a significant force in the urbanisation because these countries were reluctant to urbanise at high social and environmental costs.

In the case of Brazil, however, overt attempts to prevent rural-urban migration by keeping urban populations poorer than their rural counterparts explains the low levels of urbanisation (McGranahan & Satterthwaite, 2014). This is intended to keep people in agriculture, Brazil's economic mainstay, and discourage rural-urban migration. McGranahan cites the anti-urbanisation apartheid policy of regions occupied by the blacks as another policy that was used to discourage urbanisation in South Africa between 1980-2010. In South Africa, uneven spatial development, the distribution of economic activities and opportunities as well as dynamics related to the pursued land policies create urban pull and rural push forces (Nattrass, 1983). In this study, it was observed that the legal framework stipulated to guide urbanisation can prevent unnecessary rural-urban migration by making the cost of constructing residences and business premises in urban areas unbearable to those who cannot observe the legal requirements.

The unplanned manner in which a city urbanizes can also be as a result of the pursued urban migration policy. Nairobi's urbanisation, for instance, is explained by two distinct migration policy dynamics: the colonial and the postcolonial policy dynamics (K'Akumu, 2018). The colonial urban policy limited migration of Africans into Nairobi through the kipande system (pass laws) and the provision of bachelor accommodation (single rooms) to African workers. Wives and children of the African workers were not allowed into Nairobi. (K'Akumu, 2018) However, the post-colonial policy lifted these restrictions, leading to Africans' influx from rural areas into Nairobi. The lifting of the restrictions was however carried out without planning for the corresponding increase in Nairobi's physical and social infrastructure so as to accommodate the increasing population (K'Akumu, 2018), thus leading to lack of employment opportunities, social

seclusion, overcrowding, informal settlements, high incidence of poverty, and other super wicked problems started featuring in Nairobi (Metens, 2015).

Apart from migration policies, a study done in Kenya showed that the governments' enactment of policies for modernising cities is another factor responsible for the urbanisation process (Klopp & Petretta, 2017)., Modernisation not only introduces sophisticated technology that alters the already existing infrastructure, communication networks, and supply of social services but also boosts industrialization, . thus causing people to migrate to urban areas in order to reduce costs of commuting or transportation to work, and to enjoy the benefits that arise (Klopp & Petretta, 2017) the benefits that come with it.

Governments can also enact policies for upgrading and expanding existing towns and cities by encouraging the replacement of old buildings with new arcades, supermarkets, shopping malls and market centres, rehabilitation of roads and the reconstruction of taxi parks (UN-Habitat, 2011). This policy can be implemented by the government and in partnership with third sector groups and the community. If the implementation of this policy is not well-planned, it can adversely affect the spatial quality and the environment of the city (Buckley & Mathema, 2007)... This is. If not regulated, it is possible for private investors to establish factories or business franchises in areas meant to be residential areas, or even in areas that are supposed to serve as environment conservation areas, because they regard cities and towns as places where money, wealth, business opportunities and necessary services are concentrated (Hall, 2000; Buckley & Mathema, 2007). The promotion of an investment policy that attracted foreign investors to expand the industrial, communications, power and trade sectors in Kampala and supported the establishment of foreign-based companies at any location of the investors' choice in Kampala contributed to Kampala's

unplanned urbanization because they encouraged a government policy that did not take into consideration the master plan of Kampala City (Bidandi, 2015).

Thus, investment policies pursued by governments account for how cities urbanise explaining Kampala's urbanisation during the period 1990-2013 (Buckley & Mathema, 2007; Natrass, 1983; Bidandi, 2015).

Government development policies and budgetary allocations tend to result into changes in public investment, and these changes alter economic activities, spatial quality and environmental quality in cities and towns. The changes can be positive or negative, depending on the promoted public investments and the political interests underlying the investments (Lambright, 2014).

Challenges with the implementation of the policies is another factor leading to unplanned urbanization, conservation laws and regulations are not effectively enforced and observed when constructing commercial buildings leading to unabated infilling of swamps and destruction of greenbelts (Lwasa & Kadilo, 2010). This has been caused by, firstly, the lack of public awareness of the available physical planning regulations occasioned by the failure of responsible state agencies to educate people about these regulations (Lwasa, 2002). Secondly, the implementation of policies in Kampala city, for instance, has been compromised by authority officials' deliberate indifference to developments established under the unofficial influence of high-ranking government officials and activities deemed illegal. This has been compounded by the fact that Kampala city officials work politically rather than professionally due to low staff motivation. Job makers exploit their vulnerability to bribery and laxity and erect business kiosks in Kampala without approved plans.

To enable the ruling party to derive political capital administrative measures considered politically costly are thwarted causing delays in the city's planned urbanization, interfering with

Kampala's proper and steady urbanisation. Denying opposition politicians the money needed to ensure that Kampala developed in planned manner contributed to the city's unplanned urbanisation since it meant that these leaders were not adequately facilitated to monitor and enforce planned urbanisation. Further, the failure to enforce regulations is either due to lack of or insufficient facilitation, corruption or due to unofficial political influence wielded with impunity by high ranking government officials. These dynamics hamper effective enforcement of the available physical planning regulation, thereby becoming significant in explaining Kampala's unplanned spatial development (Lwasa, 2002).

2.7 The Role of Community Based Organizations (CBOs) in Dealing with Problems of Slums

Community organizing is a process of community grouping to address issues that impact on the well-being of those groups (McCloskey, et al., 2011). This could be in the form of community-based organizations for capacity building and sustainability.

2.7.1 Community based organizations

CBOs are civil society non-profits that operate within a single local community. Ownership of CBOs is mainly local with relatively large scopes (Odindo, 2009). They play an important role regionally and internationally owing to their importance in improving peoples' lives at grassroots level. Most of the groups or organizations offer services that are similar and are mainly formed by likeminded people not only for their mutual benefit but also to address some issues affecting the society.

CBOs have a lower status and engage in a limited range of activities than non-governmental organizations (NGOs) (Opare, 2007). This notwithstanding, CBOs are taking an increasingly dominant role in a number of vital development programmes, such as community water and sanitation schemes, natural resources management and micro credit delivery. The fact that they are formed and funded by community members enhances ownership by the community hence their projects are more likely to be successful and sustainable. Often, the CBOs are the only organizations that the poor feel that they own, trust, and can rely upon (Edward & Hulme, 1998). CBOs can be very effective in reducing urban poverty when they have been formed to represent people, implement projects, to act as legal entities representing their communities, to raise and disburse money on behalf of the neighbourhoods and to negotiate for services and contracts with public Authorities (UN-HABITAT, 2003).

Despite the numerous and beneficial roles CBOs play in development, a significant proportion of them are virtually unknown in development circles (Opare, 2007). Government agencies and donors often only assume CBOs exist in rural communities. Moreover, they have little idea of the kind of activities CBOs are engaged in and their impact on the livelihoods of marginalized and vulnerable persons. Further, CBOs lack resources to meet the challenges of the slums adequately. Anonymity of CBOs often result to limited funding available to them directly from the donor community. More often than not, they have to rely on ad hoc provisions from NGOs that use them for outreach in the areas where they (NGOs) do not have adequate presence. The result of this is that the CBOs have to depend on the general community to fundraise for their core activities. Few of them will achieve much impact from such limited funds (Opare, 2007).

Since the mid-1990s, there has been growing interest in the development of “community-based organizations” (CBOs) in Africa. Many agencies have sought to provide grants to enable

these organizations to grow and become effective in the delivery of services to their constituencies (Swilling & Russel, 2002). From the early 1990s, the region witnessed a flourishing growth of numerous organizations concerned with human rights and social justice. CBOs constitute 53% of the non-profit sector in South Africa, which contradicts the dominant image that development services are mainly provided by formal and professionally run nongovernmental organizations (NGOs) (Swilling & Russel, 2002). In Uganda a CBO mapping exercise identified over 1,800 CBOs focused on child protection (Ministry of Gender, Labour and Social Development, 2005). While these figures may vary in other African countries, there is evidence of many CBOs within rural areas and impoverished parts of cities.

Even though CBOs have obvious impact in the community, they are nevertheless not given enough attention by development agencies or the government. Like other nonprofits they are often run on a voluntary basis and are self-funded. Ownership of CBOs is mainly local with relatively large scopes (Odindo, 2009). CBO set ups focus on interventions at community levels hence are best placed to achieve outcomes at grassroots levels. These groups are largely informal and marginalized, suffering from lack of resources and their inability to cooperate with one another (Deniva, 2006).

Though CBOs have a lower status and engage in a more limited range of activities than non-governmental organizations (NGOs), they are assuming an increasingly dominant role in several vital development programs, such as community water and sanitation schemes, natural resources management and micro credit delivery (Opare, 2007). CBOs play an important role regionally and internationally owing to their importance in improving peoples' lives at grassroots level. Most of the groups or organizations offer services that are similar and are mainly formed by likeminded people, not only for their mutual benefit but also to address some of the issues affecting the society.

CBO's have experienced varying degrees of success owing to several factors. Research carried out on CBOs in Bangladesh (Datta, 2007) reveal that the successful groups and village organizations had strong leadership and were transparent in information-sharing and decision-making. The membership, through a process of election, had selected trustworthy and competent leaders for the working committees and had set a specific quota for women's membership of the committee. Concern Worldwide funded the CBOs and, in those instances, where Concern succeeded in facilitating the group to take full control of their own savings fund, the members consistently valued their 'ownership' of the group. Having control over savings funds meant members identified the groups and village organizations as their own and not those of Concern Bangladesh (Datta, 2007).

The CBOs are well intentioned but in the course of implementing their activities, they encounter challenges that prevent them from achieving their objectives (Odindo, 2009). They rarely demonstrate utilization of key principles of project management to ensure their success. Anonymity of CBOs often result to limited funding available to them directly from the donor community. Often, they must rely on ad hoc provisions from NGOs that use them for outreach in the areas where they (NGOs) do not have adequate presence. The result of this is that the CBOs must depend on the general community to fundraise for their core activities. Few of them will achieve much impact from such limited funds. On the other hand, the fact that they are funded by community members enhances ownership by the community hence their projects are more likely to be successful and sustainable. CBOs are often the only organizations that the poor feel that they own, trust, and can rely upon (Edward & Hulme, 1998). CBOs are generally bedeviled with challenges, while they have large mandates with potential of achieving crucial outcomes, they experience drawbacks in achieving project success because in many cases they lack standards

which such success can be measured (Mitlin, 2008). CBOs possess important direct linkages and close contact to the community hence in a better position to rightly diagnose and provide solutions or interventions, which are sought by their sponsors at grassroots levels. Past studies carried out have revealed that the CBOs struggle with one or all the project constraints and have difficulty achieving success (Odindo, 2009; Wawire & Nafukho, 2010)

Despite the numerous and beneficial roles CBOs play in development, a significant proportion of them are virtually unknown in development circles (UN-HABITAT, 2003). Government agencies and donors often only assume CBOs exist in rural communities. Moreover, they have little idea of the kind of activities CBOs are engaged in and their impact on the livelihoods of marginalized and vulnerable persons. CBOs generally have an inherent lack of assets and personnel, thus is not logical to rank them in line with other non – profits like the NGOs. Unlike surveyed NGOs, CBOs lack adequate funding as the most serious problem followed by the weak capacity of the CBOs (UN, 2017). The third most serious challenge identified by the study is poor governance structures for the management of the CBOs. CBOs are often part of the beneficiary communities; therefore, they have somewhat understated the capacity of the beneficiary communities.

2.7.2 Community Capacity Building

Community capacity building can be defined as the interaction of human capital, organizational resources, and social capital in a community, that can be used to promote community interests (Chaskin, 2001). Strategies for building community capacity include leadership building, strengthening existing organizations and developing new organizations and collaboration among community organizations. It can be summed up as ‘local solutions to local

problems' which enable communities to deal effectively with problems without relying on external resources (Atkinson & Willis, 2015).

Several examples of a community organizing framework have been advanced; Rothman (1974) created a framework that analyses approaches to community organizing that included identifying the client system, the community orientation to change, the out-comes sought, the change strategies and tactics, the target of change strategies, the social philosophy undergirding the approach, and the nature of the power relationships between community members and the power structure. Rothman developed three models of community organizing which are locality development, social planning, and social action (Stockdale, 1976). Key themes include the use of democratic procedures, social justice, voluntary cooperation, self-help, the development of local leadership and educational objectives. Rothman suggested that his three original models provide take-off points for creating other combinations or sub-models, referred to as modes, which combine all three of the original models and other combinations.

Weil's Community Practice on the other hand extensively reviewed models of community organization and argued that community building refers to activities, practices, and policies that support and foster positive connections among individuals, groups, organizations, neighbourhoods, and geographic and functional communities (Weil, 1996). Weil advocates for the strengthening and expansion of community practice and connection of community practice and social development.

Asset-Based Community Development (ABCD) is a strategy which is used to discover a community's capacities and assets and to mobilize those assets for community improvement (Kretzmann, et al., 2005). The ABCD process focuses on the strengths of a community and how to bring those strengths to bear in community improvement activities. For example, a typical needs

assessment may ask, ‘What is the problem?’ In contrast, ABCD work asks, ‘How can our community assemble its strengths into new combinations, new structures of opportunity, new sources of income and control, and new possibilities? Every community has a vast and often surprising array of individual talents and productive skills, few of which are being mobilized for community-building purposes. Thus, understanding the strengths of a vulnerable community is essential in order to plan and implement sustainable community development strategies (McCullough & Ryan, 2014). The key organizing methods used in this model are door-to-door canvassing, developing maps of the community assets, capacities and abilities, and visualizing connections of these assets in ways that multiply their power and effectiveness (Kretzmann & McKnight, 1993).

Feminist Models clearly identify with worldviews that endorse principles to eliminate structural forms of gender oppression, promote equal rights, and empower women (Bradshaw, et al., 1994; Gutiérrez & Lewis, 1999; Weil, 1996). Efforts are included which examine male dominance as a cultural phenomenon, and change strategies aimed at developing women’s personal empowerment through raising consciousness and collective action. Cultural knowledge is further integrated as a tool to build bridges.

Finally, the culture-Based Models considers culture as an influencing factor it is a multidisciplinary community of practice at the intersections of art, cultural work, and social change. The depth of culture used by these models varies, with some focused-on building cross-cultural understanding while others offer organizing models centered in the world-view of specific ethnic groups (Kuttner, 2015).

The models are a way of encouraging the development of more ‘healthy’ or ‘active’ communities, the pooling of skills and resources as well as the identification of key local problems

that many want to see addressed through common action. Given the complexity of community life and differing social environments, there is no single solution that will suit all communities. Therefore, there's always the need for communities to be allowed to identify their own agendas for capacity building Namatala inclusive (Kobler, 2009).

2.7.3 Concept and Power of Community

The concept and power of community provides a means of addressing sustainable development at the community level. Power of community is a process by which communities can initiate and generate their own solutions to their common economic problems and thereby build long-term community capacity and foster the integration of economic, social and environmental objectives (Noya & Clarence, 2009). Other observers argue that in response to external funding priorities, community development organizations have lost their original focus on the creation of local employment opportunities and local control and generation of capital in low-income communities (Roseland, 2000). Achieving sustainable community economic development means emphasizing sustainable employment and economic demand management (EDM).

Although slums are a visible and clear manifestation of poverty and economic oppression, these places also highlight the powerful ingenuity and endurance of their inhabitants (Laing, 2014). Slums create spaces that are open to and accepting of migrants and the culturally marginalized people who move from region to region in search for a good habitat. Slums have often been thought of as places of cultural innovation in music, writing, and other art forms as well as multicultural housing innovation. Self-help opportunities and artistic expressions exist in such areas of the marginalized individuals (Owusu, et al., 2008), residents in slums often have high levels of cooperation and a general sense of communalism. This could also be true of Namatala.

2.7.4 Concepts of Sustainable Community

Sustainability in the sense of community and development is the act of one generation saving options by passing them on to the next generation (Maser, 1997). It emphasizes the importance of and the need for shifting personal consciousness from being self-centred to becoming other-centred. Community Development (CD) consists of the (planned) evolution of several aspects of community wellbeing (economic, social, psychological, environmental, cultural, and political). It is achieved through reaching an equilibrium between accessible resources and the challenges faced by community members (Dodge, et al., 2012). While there has been considerable attention in recent years to thinking globally, Communities as presently planned and developed are not sustainable.

2.7.5 Governance

Although local governments are not necessarily the only agencies charged with community planning and development, they are the only locally elected, representative and accountable bodies responsible for community decision-making (Agrawal & Ribot, 1999). This makes them critical players in the movement toward sustainable communities. Accountability and transparency stand vital to good governance. These two aspects prevent corruption, rent seeking, and other forms of diverting power and resources away from the needs of the public (Johnston & Kpundeh, 2005). Diversion of resources often result in those resources being in the hands of policy makers and make worse the conditions that disproportionately affect the most vulnerable people in slum communities (Transparency International, 2013). Groups that are not socially included in the social, economic, and political life of a society are rendered vulnerable, unprotected and otherwise disempowered with regard to having their needs and wants addressed (Arimah, 2010). As a result,

such groups are left to develop alternative, underground social, economic, and power systems in slums, this is labelled the informal sector. Much focus is being placed on moving groups, particularly women and children in slums into the formal sector through social inclusion (UN-HABITAT, 2003; Simiyu, 2015).

2.8 The Role of Non-Governmental organizations and third sector groups in dealing with the problem of slums

Recognizing the shortcomings of CBOs, other actors, referred to as the third sector, especially non-governmental organizations (NGOs) and civil societies have come in to fill the gaps left by the efforts by CBOs. NGOs are high profile actors in the field of international development, both as providers of services to vulnerable individuals and communities and as campaigning policy advocates. They are relief and welfare agencies, including missionary societies and technical innovation organizations that pioneer innovative approaches in specialist fields and advocacy groups and networks that have no field projects but that exist primarily for education and lobbying (Clark, 1991). They could also be referred to as civil society organizations (Anheirer & Themudo, 2008). The term also has numerous culturally specific meanings. In Western Europe, it generally means non-profit organizations that are active internationally. In the developing nations, the term NGO generally refers to organizations involved in development.

NGOs are mainly differentiated by the type of work they perform; they are largely or entirely autonomous from central government funding and control. New funding streams became available from Northern NGOs to local groups many of which became significant NGOs in their own right (Bebbington, et al., 2008). NGOs have grown exponentially in development theory and practice, alongside the growing recognition of the importance of civil society in global and local

development. They are acclaimed for their participatory approach to development and enhancement of the livelihoods, rights, and democratization process of the poorest segments of society through various social development projects and programs (Bebbington, et al., 2008). They are hence seen as the champions of the poor, marginalized, and socially excluded, stepping in to make a difference when the state and other development institutions like the World Bank and IMF have failed (Lewis, 2007).

Over time, NGOs have evolved through a series of stages or generations from firstly, welfare and relief work that only confronted the symptoms of poverty by handling immediate needs, secondly to increasing the capacity of the poor to meet their own needs through community development by building self-reliant small-scale local development initiatives, thirdly, working with existing initiatives and organizations in villages and urban slums through sustainable systems development on sustainability and in influencing policy through advocacy work and fourthly through self-managed people driven networks and movements that integrate actions at the local level to activities undertaken at the national and global scale, with the long-term aim of change at the structural level (Korten, 1990).

NGOs, like most organizations, are subject to constant change, combining several roles or activities at any one time and hence their role requires understanding them in the context of their relationships to other development stakeholders such as the government, donor agencies and civil society (Lewis & Kanji, 2009). A more recent NGO trend is to engage in a range of activities that aim to bring about change in official structures to create a more effective policy environment for their initiatives, concentrating especially upon the reforms needed by local government. NGO's work through local implementing partners through a partnership model designed to resolve identified shortcomings in their ability to reach the poor, to provide appropriate interventions based

on localized understandings of the situation, downward accountability, and their relationship with donors (Edward & Hulme, 1998; Salamon & Anheier, 1997; Gibelman & Gelman, 2001). The argument is that only local institutions have a truly deep knowledge and understanding of the local context and are in a better position to ensure the long-term sustainability of the transformative systemic change desired.

The work of NGOs recognizes the central role played by people in development policy and other characteristics such as their flexibility and direct connection to the poor, they are endowed with comparative advantages that the government and public services sector lacks. Hence, NGOs are seen as fostering local participation, since they are more locally rooted organizations, and therefore closer to marginalized people than most government officials are (Lewis & Kanji, 2009). Normally, the poor are often overlooked by public services because of resource limitations crunch in many government agencies and due to “elite capture” of key decision-making processes. As such many NGO’s have extended their interventions into the provision of health, education, housing and credit services to millions who are increasingly located in cities and their slums. NGOs have stepped up as the main service providers in countries where the government has failed to perform its duties to the citizens. Besides providing welfare, legal, technical and financial services to the poor (Ulleberg, 2009), NGOs also work with community organizations in providing basic services and infrastructure in place of the government (Desai, 2002). In the top- down level of the slum upgrading, they play the advocacy and service delivery role, advocate for the interest of slum dwellers during the upgrading, project planning and promote policies and investment that support slum improvement. In the bottom-up level, specialized NGO’s and micro-finance institution enhance slum improvement by offering micro-credit to slum dwellers for both housing improvement and enterprise development, (Merrill & Suri, 2007). NGO’s have also strengthened

national capacities through training programs, imparting technical advice and expertise, and exchanging experiences through knowledge sharing, research, and policy advice (Ulleberg, 2009). NGOs guide policy, and receive feedback on what the public want, in addition to being ‘watchdogs in monitoring public programs and enhancing the accountability of officials’ (Desai, 2002)., they endeavor to influence public policy, by campaigning on behalf of the public and mobilizing them in numbers against ‘entrenched elite or state interests’

NGOs have specialized their roles in significant areas such as human rights, emergency responses, empowerment, conflict resolution, gender, preservation of culture and indigenous heritage, environment, policy analysis, (Keck & Sikkink, 1998), social exclusion, social movements, civil society and democracy, research and information dissemination (Lewis & Kanji, 2009). NGOs provide pertinent “local knowledge” about local conditions and the poor and ‘deliver services to vulnerable and difficult-to-reach population groups’ and ‘ensure equity within the family’ through implementing training programs on gender and mobilizing women (Clark, 1991).

NGOs’ work can best be summarized in three roles: as implementers, mobilizing resources and delivering goods and services to the poor such as healthcare, microfinance, agricultural extensions and emergency relief; as catalysts, where they ‘inspire, facilitate or contribute to improved thinking and action to promote change’; and as partners where NGOs collaborate with the government, private businesses and donors (Lewis & Kanji, 2009).

2.9 Conclusion

The future trajectory of urbanisation in Uganda and in essence Africa will be characterised by high population densities, poverty, spatial polarisation, environmental degradation and services and infrastructural gaps (Birch & Wachter, 2011). This scenario is envisaged to get worse if governments do not make deliberate efforts to formulate workable place specific urban sustainability policies. And for the case of Uganda, the need for the policies to be managed by a specific government ministry, there is also need for reliable data which this study set out to gather. The inability by local governments to take up services in the slums has led to NGO'S and civil society organizations to take up the urban services provisioning. These activities and what has been achieved has not been systematically recorded for an overall appraisal for the impacts of the interventions (UNDESA, 2008).

The literature review has provided a detailed discussion and material from various sources. Focus has been on issues of development particularly in line with the changing nature of development, models of development, rapid and uncontrolled urbanization, current thinking on development including move to more sustainable models. The literature has further presented insights on sustainable development concepts. For instance, it engages with the three pillar models, principles of sustainable development including subsidiarity, inter- and intra-generational equity, futurity, partnership, participatory, proportionality and polluter-pays. Furthermore, the review has conceptualized urbanization including models of urban development, slum development with a focus on slums in Uganda, factors influencing slum growth and gentrification. These aspects clearly illustrate the shift from informal to formal, thus showing how slums become more established and recognized. Insights on slums, slum formation and development, and slum issues regarding social, economic, environmental, and political underpinnings have been reviewed.

Issues regarding policy, especially focusing on national, district and local policy on processes of urbanization, legal issues, planning, control and management of slums have been reviewed too.

Finally, sustainable development should emphasise place specific interconnectivity of the economy, society, environment and culture. While most sub-Saharan African countries have advanced in empowering slum dwellers to participate in making decision to improve their settlements, some still face the challenge of lack of involvement (Mansuri & Rao, 2012). Namatala slum is still experiencing the super wicked problems that include lack of access to jobs, affordable housing, and health care facilities among others. Societal needs of both present and future generations can only be met if sustainable features are extensively improved in slums. The wicked problems cannot be solved by traditional processes of analyzing vast amounts of data or more sophisticated statistical analysis but more appropriately through mixed methods approach (Camillus, 2008).

CHAPTER 3: RESEARCH METHODOLOGY

3.1 Introduction

This chapter presents the study area, data used, methods of data capture and materials and techniques used to achieve the study objectives. A place study was carried out in Namatala, one of the largest informal settlements in Mbale Municipality, Uganda. The study of Namatala meant that the views and findings of this research represent a situation that is both socially, economically, cultural, and environmentally specific to a place (Williams, 2007).

The main body of this chapter engages with the mixed methods used in the research in the context of the selected location. It also provides a full description of all methods used including the ethical considerations. The study concentrated on the interpretation of the results and triangulation of data to realize the objectives (Leedy & Ormrod, 2001). Investigations involved the use of face-to-face interviews, focus group discussions and questionnaires for the selected case study area. Google maps were used to produce images that display land-use patterns of the area for over ten years. Four basic audits were performed: an urbanization audit, a baseline slum survey audit, a policy audit and a community/ stakeholder and capacity audit. The urbanization audit measured and defined the physical delineation and development of Namatala, measuring urban growth, urban infill, and urban change while the baseline slum survey audit was an examination of the framework of development/sustainable development with social, economic, cultural and environmental assessment for slum profile and analysis of issues. The policy audit was a policy document analysis of the international policies, Ugandan national urban policy and Mbale Town policy and plans. Finally, the community stakeholder and capacity audit examined the different third sector groups such as community-based organizations (CBOs) and non-governmental organizations (NGOs) by highlighting their strengths, weaknesses, opportunities and threats

(SWOT) in relation to their activities in the slum thus providing ideas and solutions involving all stakeholders' right from the households (Creswell, 1998).

3.2 Ethical Considerations and Approval

Ethics is a branch of philosophy that deals with the conduct of people and guides the norms or standards of behaviour of people and relationships with each other (Kothari, 2004). Research ethics as a branch of applied ethics has well-established rules and guidelines that define their conduct. This is important in research endeavors and requires that researchers should protect the dignity of their subjects and publish well the information that is researched (Fouka & Mantzorou, 2011). Ethical considerations and approval for this study were sought and adhered to (Kothari, 2004). Approval was provided by the ethics research committee at the University of South Wales (Appendix VII) and the Uganda National Council for Science and Technology (UNCST) (Appendix VII). A copy of the participant information sheet was used to approach potential participants (Appendix VII). Voluntary consent was sought from each participant.

The information sheet was translated into three local languages: Itesot, Luganda and Lugishu by translators approved by the Uganda Ethics Board. The information sheet was given to participants before any consent was formally sought and contained all the information about the nature of the research, how the information will be used and presented, and about withdrawal and confidentiality (Oddi & Cassidy, 1990; Fouka & Marianna, 2011). Only the head of a household or other responsible adult from the household was asked to participate. If the participant was not able to read and sign the form then the investigator asked for a verbal assent which was recorded with an appropriate mark (Mugenda & Mugenda, 2003). The information was read by the interpreter and questions that arose were answered. No names or any other identifying information

will appear in published data from this study (Creswell, 2005). It was emphasized to all participants that they could withdraw at any time from the study without providing any explanation.

3.3 Concepts of Mixed Methodology

A research design is the arrangement of conditions for collection and analysis of data in a manner that aims at ascertaining the relevance of the research; it constitutes a blueprint for the collection, measurement, and analysis of data (Kothari, 2004). Designing a study helps the researcher to plan and implement the study in a way that will help the researcher to obtain intended results, thus increasing the chances of obtaining information that could be associated with the real situation (Creswell, 1998). The study used a place analysis method, in order to bring about an all-inclusive visualization of a socially, cultural, environmental and economically sustainable community through examining its current state (Leedy & Ormrod, 2001). This was for the purpose of forming the place-specific characteristics and solutions to issues (Creswell, 1998).

As mentioned in the earlier chapters, the intersection of economic, environment and social systems create super wicked problems that have no completely right solutions and therefore, cannot be solved by traditional processes of analyzing vast amounts of data or more sophisticated statistical analysis (Camillus, 2008). In order to understand the intersection of economic development, environmental justice and human rights context and experiences of diverse communities in culturally appropriate ways and to develop and implement strategies that addresses the human and environmental implications of this wicked problems, this study adopted a resilience focused transformative mixed method approach where both quantitative and qualitative data collection techniques and analysis procedures were used (Reyes, et al., 2014). Mixed methods allowed the researcher to have a common language to guide the inquiry, through participation from

the groups involved and the government so that they are part of the process of problem and solution identification and documentation.

The mixed methods were used to capture the complexities inherent in moving forward to a more resilient and healthy part of growth and development, aid in decision making and help to create harmony and symbiosis that is desirable (Metens, 2015). The methods selected identified the different constituencies, their social and cultural positions, and ways to counteract negative or distrustful relationships. By involving the affected communities, the research included qualitative relationship building in order take into account the quality of living and allow communities to contribute to the understanding of the problem themselves and involve stakeholders from the policy, program and community levels and work towards problem identification and solutions (Mertens, 2014). The mixed methods therefore aided in collecting data on the life experiences of those who live and work in Namatala and thus improve the credibility of findings through the expansion of methods. Without the use of mixed methods, decisions could be made that blame the victims and do not create the harmony and symbiosis that is desirable (Mertens, 2014). Data analysis was separate, and integration happened during data analysis to give voice to diverse perspectives and to have a better understanding of Namatala as a place (Tashakkori & Teddlie, 2003), each method carried equal weight.

Two major advantages have been advanced regarding the use of mixed methods in the same research study. First is that different methods can be used for different purposes in the study. For instance, a researcher can choose to use interviews at an exploratory stage to get a feel for the key issues before using a questionnaire to collect descriptive data (Saunders, et al., 2019). This can help in providing confidence about the issues under study. The second advantage is the fact that mixed methods provide a wealth of data that researchers need to discover the resultant findings

that they had not anticipated (Bryman, 2004). The intention of using the mixed method in this study was to multiply the potential and likelihood of unanticipated outcomes (Bryman, 2004). This is because quantitative and qualitative data collection techniques and analysis procedures each have their strengths and weaknesses (Ball & Smith, 1992; Creswell, 2005). The quantitative approach used a questionnaire to gather place specific data but guided by validated instruments, which the researcher designed specifically for Namatala (Creswell, 2005). Although other instruments exist that could be used for this study (Hanson, et al., 2005), the researcher reviewed available literature to determine the place specific operational definitions of the constructs to be measured. Both open-ended and closed questions were used as a best-positioned method to use on a sample that was representative of the target group to determine the areas of concern around the constructs of environment, social, economic and cultural factors at play in Namatala and how different actors are involved (Creswell, 2005).

Qualitative research allows for the dynamics of social life to be investigated within the economics, cultural, social and environmental context. This approach was used to provide a more informed and detailed analysis of specific data for Namatala (Creswell, 2005). The qualitative research used interviews, participant observation, photography, document analysis transect walks, and focus group discussion to produce data (Denzin & Lincoln, 1998). The researcher decided the questions to be asked to gain a deeper understanding of the subject (Denzin & Lincoln, 1998). The implication is that the results of the study were affected by the techniques and procedures used in data collection and analysis. Therefore, the use of different techniques and procedures helped cancel out the method effects leading to greater confidence being placed on the conclusions of the study (Saunders, et al., 2019). This also helped in ensuring the validity of the data produced, the data was then triangulated (Ivankova, et al., 2006). The aforesaid data collection techniques and

analysis procedures were used to reduce bias and conflict (Ivankova, et al., 2006; Creswell & Clark, 2010).

The mixed methods consisted of two distinct phases: First, initial interviews were done on key household and community representatives for each cell to help design the household questionnaire, then quantitative (numeric) data were collected and analyzed for selected households, consisting of a sample of 758 households; secondly, the qualitative phase was used to build on the quantitative phase to refine and explain participants' views in more depth (Hanson, et al., 2005; Hanson, et al., 2005; Rossman & Wilson, 1985; Tashakkori & Teddlie, 2003). Both methods were given equal priority. Verification of findings occurred using multiple sources of data such as focus group discussions, individual interviews, quantitative survey questionnaires, photographs, maps, observation, and transect walks, as well as through comparison with the literature. In qualitative research, there are no fixed rules and protocols as in quantitative sampling, instead, it is contextual (Morgan, et al., 1998). Therefore, the size of the sample required depended on the aim of the research and the questions being asked (Tashakkori & Teddlie, 2003).

To accomplish the collection of appropriate data for the study, a place based mixed-method analysis that involved an all-inclusive visualization of a socially, culturally, environmentally and the economically sustainable community was used (Creswell, 1998). Table 3.1 provides a summary of the techniques, instruments, and tools that were used for the analysis of the data collected in relation to the aims and objectives. This study, therefore, sought to develop a place centred approach for sustainable development solutions for Namatala slum in Mbale Municipality, Uganda.

The data collected was recorded in tables and charts and in both video and audio recording which were later transcribed and notes and codes made about emerging themes. All transcripts for

interviews and focus group discussions were read before the commencement of the coding process and the themes and common issues that were raised were coded (Mason, 2002; Bazeley, 2007). The researcher remained alert to the differences between looking at ‘stories as presented’ and ‘realities as were’ (Wengraf, 2001). The researcher then identified themes relating to culture, policy, economic activities, social, environment and people and asked questions on different perspectives which was differently labelled and organised nodes were created (Bazeley, 2007). In this research, the researcher shaped the analysis structure.

Table 0-1 Aims, objectives, data collection and analysis tools

OBJECTIVES	OUTCOMES	SOURCE	INSTRUMENT/TOL	ANALYSIS
PHASE ONE: URBANIZATION AUDIT AND BASELINE SLUM SURVEY AUDIT				
1.To examine the form and evolution of Namatala as a place (Chapter 4)	a) To explain the development of Namatala as a place and how it is changing, the physical delineation and its development and growth	Google maps Participant observation Cartographic analysis	Transect walks Place analysis Building survey Cartographic analysis	Spatial variation Quantitative temporal change (2003-2013 image) Building counts
	2. To explain the social, economic and environmental factors at play in the making of Namatala. (Chapter 4)	b) To describe and explain the social, economic, and environmental factors at a household level in Namatala	Government participation	Interview
Participant observation			Transect walk	Qualitative
Households			Household questionnaire Focus group discussion	Quantitative Thematic Analysis
	c) To assess the degree of interconnectivity between the social, economic, cultural and	Community participation	Building survey Transect walks Place analysis Interviews	Multivariate analysis (cluster and principal components analysis)

	environmental variables in Namatala, their relative importance, and the significant challenges that impact on sustainable development			Thematic analysis
PHASE TWO: POLICY AUDIT				
3. To critically appraise international, African, national, and municipal urban policies and strategies designed for the development of Namatala (Chapter 5)	a) To explain the past and current national and municipal policy on slum development in the context of international policies. An analysis of how they are being disseminated, applied and how they are shaping Namatala.	Secondary data analysis	Review of policy documents and project reports	Content analysis
		Government participation	Interviews	Thematic analysis
	b) An assessment of the effectiveness of governance and of the delivery of policy for Mbale Municipality in the social, economic, cultural and environmental elements	Secondary data analysis	Review of policy documents and project reports	Content analysis Tabulation audit
		Community participation	Interviews	Thematic analysis
		Community participation	Focus group discussion	Thematic analysis
	c) An assessment of the degree of vertical integration with devolvement of policy their relative	Government participation	Interviews	Thematic analysis
		Community participation	Interviews	Thematic analysis
		Community participation	Focus group discussion	Thematic analysis

	importance, and the significant challenges that impact on sustainable development in Namatala.			
PHASE THREE: COMMUNITY/ STAKEHOLDER AND CAPACITY AUDIT				
4. To assess the contributions of community-based organizations and third sector groups in dealing with the problem of slums development in Namatala (Chapter 6).	a) To provide a stakeholder analysis for the third sector and assess the effectiveness of the organizations	Stakeholder identification	Interviews	
		Stakeholder analysis	Interviews Workshop Focus group discussions	Thematic analysis Tabulation
	b) Assess the contributions of civil society organizations in dealing with the problem of slums with special emphasis on Namatala	Stakeholder analysis	Workshop Focus group discussion	Thematic analysis Tabulation
	c) Examine the different third sector groups such as community-based organizations (CBOs) and non-governmental organizations (NGOs), their strengths, weaknesses, opportunities and threats (SWOT) in relation to their activities in Namatala and barriers to engagement.	Stakeholder analysis	Workshop SWOT analysis	Tabulation

	d) To assess the degree to which community capacity building and sustainable development are taking place in the context of community engagement, empowerment, and participation to the promotion of sustainable development in Namatala.	Stakeholder analysis	Interviews Workshop Focus group discussion	Thematic analysis
	(Chapter 7) To assess and explore the potential for new sustainable development opportunities for Namatala, considering cultural, social, economic and environmental elements that are place specific.	Stakeholder analysis Conclusions and recommendations	Workshop Cross referencing with Literature	Thematic Analysis

3.4 Urbanization Audit

3.4.1 Introduction

This section aimed at examining the profile of the slum using Google maps of the area over a ten-year period. A delineation of Namatala was done to show the development of the slum. This involved the measurement of urban growth, urban infill, and urban change over ten years from 2003 to 2013. Google images were analysed to provide building counts. Maps of Namatala provided by the Mbale Municipal Council were used to delineate areas of Namatala on aerial

images provided from Google Earth. The main aim of the work was to create up-to-date maps that delineated the area of Namatala by constructing its boundary within the city of Mbale, and the study cells, assessing the urban infill of the Namatala region, identifying possible areas where urban sprawl could occur, and analyzing the changing land cover over the 10 years.

3.4.2 Location of the study area and delineation of the area

Using Google map images, a boundary was constructed around Namatala ward in the Industrial division of Mbale Municipality. The area was further divided into 10 zones that were relatively equal in area and to facilitate housing counts, the boundaries were defined by roads, further mapping was done to locate the study cells of Mvule, Bubirabi, Sisye and Nyanza. Visual counts of “house” and “huts” were done. A ‘house’ was classified as any structure that had a tin or tile roof and appeared as a rectangular structure while a ‘hut’ was classified as a round structure that had a thatched roof (with the walls made out of clay and sticks). The visual housing count was done from images collected from Google Earth on 24.4.2003 and 22.1.2013 for a 10-year comparison to identify the areas where growth or infill has occurred. The visual counts were then tallied up and put into tables for further observation to allow for comparative analysis to be done over the ten years (Kayet & Pathak, 2015).

First, the total percentage of the ‘Houses’ and the ‘Huts’ was calculated by adding up both values for both classes and dividing the sum by the total number of ‘Houses’ and ‘Huts’. The resultant figure was then converted to a percentage by multiplying it by 100. This was completed for each zone under study in the Namatala ward for the years 2003 to 2013.

$$\frac{\text{Number of Houses OR Huts}}{\text{Total Number of Houses OR Huts}} \times 100$$

Total Number of Houses AND Huts

Second, the percentage change (increase or decrease) was calculated to examine the changes that took place in the 'Houses' and 'Huts' in the 10 years from 2003 to 2013. This was done to identify trends and possible correlations and to detect any changes occurring within the period, therefore identifying the zone where the urban infill and or sprawl is occurring combined with the growth of informal settlements.

$$\frac{\text{houses OR Huts Value} - 2003 \text{ Houses OR Huts Value}}{\text{houses OR Huts Value}} \times 100$$

houses OR Huts Value

3.5 Baseline Slum Survey/Audit: Socio-Economic, cultural and Environmental Visual Audit

An analysis of the social, economic, cultural and environmental variables in Namatala at a household level was done using focus group discussions, household survey questionnaires, key informant focus group discussions, transect walks, and observations for triangulation purposes (Creswell, 2005). This was done to contextualize sustainable slum development through the assessment of the social, economic, cultural, and environmental aspects of the slum. A baseline household survey of 758 households was carried out to measure demographic, economic, social, environmental, and cultural aspects of Namatala.

3.5.1 Focus Group Discussions

Introduction

For this study, two focus group discussions were done in both phase one and in phase three (Table 3.1). The first focus group discussion was done in January of 2016 to triangulate and fill any information gaps that would arise from the household survey findings (Tashakkori & Teddlie, 2003). This was done to obtain detailed information about personal and group opinions and experience and beliefs on environmental, economic, social, and cultural issues in Namatala in the selected cells and their perceptions and opinions on matters of policy. A semi-structured interview guide developed by the researcher with consultation from a team of researchers with experience working with slum dwellers was used for the interviews to ensure inclusivity of Namatala as a place.

To ensure that issues relating to economic, social, environmental, and cultural circumstances identified in the literature were captured, interviews included probes on household incomes and expenditure, crime rates and social groups, water sources, waste disposal and health. Participants were also asked to describe life in Namatala in relation to the thematic areas.

Participants

Questions on thematic areas in the questionnaire on culture, economics, social and environmental aspects in Namatala were rewritten as open-ended questions and relayed to selected household members who included the local leadership and community elders in focus group discussions in each of the four cells. Different researchers give different recommendations for group sizes (Crabtree & Miller, 1999; Kvale & Brinkman, 2009) recommend 10-15 participants

while Morse (Morse, 1994) recommend 30-50 interviewees. Because of the homogeneity of the subjects and due to resource limitation and the research aim, 6-8 data sources in each of the four cells of Bubirabi, Mvule, Sisye, and Nyanza which exhibited more slum like conditions in Namatala according to the definition adopted (UN- HABITAT, 2012), were purposively selected from the baseline survey to represent varying responses and to triangulate with the questionnaire. The face-to-face interviews conducted by trained interviewers with previous experience working in the slum were recorded. Each interview lasted 1-2 hours and was transcribed directly into English. Only members that understood English and had stayed in Namatala for more than 3 years were selected with the help of the Local Council Chairperson during the household enumeration stage. Since the purpose of the study was to place Namatala, the homogeneity of the group was important and that formed the basis of forming four groups, one in each cell.

Procedure

A trained moderator was taken through the objectives of the study and the questionnaire. The researcher and the moderator then drew up a set of structured questions that corresponded to the main themes of the study which were demographic, environmental, social, cultural, and economic. This allowed for clarification of the responses from the survey. Before data collection, there was a field pilot testing and during data analysis there was data triangulation with the questionnaire and the feedback from the participants (Kuzel, 1992). Peer review was done after the analysis. The venues were carefully chosen to include enough room and privacy. The meetings were scheduled in the different cells on different times, seats were set in an arrangement that all the other members felt comfortable within a circular form.



Figure 0-1 Community focus group discussion in Mvule cell

Source: Researcher



Figure 0-2 Community focus group discussion in Bubirabi cell

Source: Researcher

The purpose of the FGD and the confidentiality of the information was explained to the group. Consent was sought from the participants by signing the consent form after it was read to them (Appendix VII). The moderator asked broad questions to elicit responses and to generate discussions from the participants. Their answers to the questions were listed down and latter compared to the responses in the household surveys and any emphasis or differing answers noted. The moderator was able to probe further whenever there was any deviation in the answer given. Audio recordings of the proceedings were done with consent from the participants, still photos were also taken. Later, the information was transcribed and analyzed. The FGD guide also enabled the researcher to observe the participants' first reactions to sensitive issues (Nachmias & Nachmias, 2015). Each session ran between one to two hours. To compensate for the time taken out of their daily schedules, each participant was given a small allowance.

Validity and reliability

The trustworthiness of a research study is the central aspect of the issues that are conventionally called validity and reliability (Lincoln & Guba, 1985). To ensure that the results from the focus group discussions were reasonably credible or believable from the perspective of the participant in the research (Lincoln & Guba, 1985), the researcher began with probe questions to introduce participants to the discussion topic and to make them feel more comfortable then asked follow-up questions for clarity (Leung, 2015).

The instrument was further refined through a pilot test where a group that was not included in the final analysis was taken through the questions and any ambiguity was corrected by the researcher and the team. Validity was further reinforced through peer-review (Hammarberg, et al.,

2016), the reviewers helped to encourage more probes and refinement of the instrument (Morse & Richards, 2002). Finally, triangulation was done to bring out the relationship between the information obtained from the survey to increase the understanding of the study and to allow the researcher to explore several facets of Namatala in relation to the study objectives (Fusch, et al., 2017; Olson, et al., 2016). Triangulation also assisted in assessing the consistency of the information from the different participants and the questionnaire.

3.5.2 Household Questionnaires

Introduction

The Questionnaires were made of a set of items to address specific objectives in the study (Mugenda & Mugenda, 2003). Questionnaires were used because of the large samples involved. They are cheap to administer, less impacted by bias of the interviewer and provide adequate time for respondents to fill. Most of the data collected in Uganda slum relies on largescale National Surveys such as those conducted by the World Bank or UN which allow some level of disaggregation at regional levels, but do not allow distinction for places. The researcher, on the other hand, opted to use a place-based instrument to look at Namatala as a place and to provide a unique opportunity to focus on the exact issues affecting the place by asking questions specific to the objectives of the study (Sssewanyana & Kasirye, 2012).

Data from the households were collected using data clerks who visited each selected household accompanied by a local leader and under the supervision of the researcher. Basic information was collected on the characteristics of each person listed, including his or her age, sex, education and relationship to the head of the household (Creswell, 2005). Assets in the questionnaire related to ownership of household assets, expenditure on consumables, monetary

income and housing characteristics, which were used to construct the household economic situation (Mugenda & Mugenda, 2003). Data on the age and sex of household members was used to identify women and men eligible for the responses required. Besides, the household questionnaire collected information on characteristics of the household's dwelling unit, such as the source of water, type of toilet facilities, materials used for the roof and walls of the house, ownership of various durable goods, environmental activity and use of leisure time (Maclanahan & Booth, 1989).

The principal unit of analysis was the household, one respondent (the head) was purposively chosen as a representative of the household. Heads of households were chosen as reference persons following patterns set by other studies (Maclanahan & Booth, 1989), and the assumption that the economic, social and environmental, cultural circumstances of the head of the household is the most single important indicator of household status. The characteristic of a household head that were considered include gender (male, female), age in years, education level, marital status, ethnicity and the type of economic activity over the period. Household characteristics that were used in the analysis include household size and the total number of children (Sssewanyana & Kasirye, 2012).

Information on socio-demographic and behavioural characteristics during the development of the questionnaire was largely informed by existing instruments that have been used and validated in various settings (Jessor, et al., 1998). This study only made the instrument place specific.

Considering that the slum area has a mixture of tribes, the questionnaires were translated from English to Luganda, Lugishu and Itesot, the dominant tribes in Namatala. The translation of the questionnaire was done by experts identified by the Mbale referral Hospital Research Ethics Board and approved by the Uganda National Council for Science and Technology (Appendix VII). If

during the time of data collection, the head of the household was not present, the next of kin provided the required data. A household was only replaced if no eligible respondent was found at home. 758 households from the 1080 households (total for the four zones) were used in the survey using the Slovincs formula (Almeda, et al., 2010).

The questionnaire participants were household members and local leaders. A household listing was performed with the help of the community leaders (Local Council Chairpersons (LC1)). The listing was done in two approaches: clusters were created of Bubirabi, Mvule, Sisye and Nyanza cells which have the greatest concentration of the slum. Although there are other cells in the parish like Wandawa, Kiduda, and Doko, these were omitted because they do not exhibit the characteristics of a slum as defined by the study. The households were then categorically selected from each cluster. In Bubirabi zone, the LC1 had a list available. And thus, the researcher worked with the LC1 to update the list to near accuracy. In Mvule, Nyanza and Sisye zones, the lists were completely unavailable, and the researcher worked with the LC1 to generate a fresh list. To sample the households, probability proportional to size sampling was applied (Almeda, et al., 2010). Bubirabi zone had 630 listed households, Mvule zone had 157 listed households, Sisye had 150 listed households, and Nyanza had 143 listed households.

Procedure

Eight research assistants were recruited based on maturity, open-mindedness and previous experience in interviewing. After selection, a training session was held to familiarize the research assistants with the study instructions and to update them on interviewing skills, recording of answers and translations (Bryman, 2004). To assess the reliability and to measure consistency and stability of the questionnaire, a pilot test was administered in randomly selected households that

met the inclusion criteria within the four cells and that would not be visited later (Creswell & Clark, 2010). Full description of the questionnaire and the study objectives were given to the respondents and informed consent was obtained from them. For those that did not understand the English language, the translated consent forms were read to them in the language they understood.

To measure the content validity of the questionnaire, the items were checked to ensure that they adequately reflect the process and content dimensions of the objectives of the instrument (Benson & Clark, 1983). The researcher ensured that the instrument was distributed to a sample that is representative of the target group using the Slovincs formula (Almeda, et al., 2010). During the survey, the group critiqued the quality of the individual items and overall instrument during the pilot session and the first day of the survey (Creswell, 2005).

During data collection, the Local leader / LC I (gatekeeper) was visited and asked to join the team during the exercise to elicit responder confidence. On the first day, the team presented a letter of introduction (from the researcher) and a consent form (Appendix VII). The data collection team for the questionnaire then presented the list of sampled households to the Local leader who then led them to the particular households. This approach was preferred to systematic sampling due to the disorderly settlement pattern in the slum area (Creswell, 1998). The data collectors were carefully chosen and allocated, mindful of their eligibility to conduct interviews in a particular zone. The data collectors observed all the ethical standards of research. The teams were organized to have an end of day meetings for all the data collection days. In the meetings, the teams were required to exchange questionnaires and correct any minor errors (spellings and grammar), discuss any challenges met during the day, the achievements, the lessons learnt and strategies for the next day and back it up with any photography (images/video/ audio). Each team then carried consent

forms that were signed by every respondent representing a household (Appendix VII) (Hanson, et al., 2005).

Households for this study were selected in such a way that the individuals selected represented the large group from which they were selected (Mugenda & Mugenda, 2003). The purpose of the sampling was to secure a representative group which enabled the researcher to gain the necessary data that the study sought to find. The household population in this area is quite large and unpredictable (Tashakkori & Teddlie, 2003). Sampling of households, therefore, was done categorically and the Slovin's formula (Almeda, et al., 2010) was used to determine the sample size using simple random sampling.

$$\text{SLOVINS FORMULA } n = \frac{N}{1 + N e^2}$$

The total number of households in the zones (N) provided the household samples in the cell (n) from which the population of respondents (N) and sample size (n) was obtained. The researcher had no critical information on the characteristics of the households therein, thus, the Slovin's formula which provided for an error of tolerance (e) 0.02 and in this case, a bigger confidence interval (98) and margin of error (0.02) was chosen to ensure a comprehensive capture of the population characteristics.

The sample was determined by first calculating the sample of the overall population, the samples from the different stratum were then determined by rationing the sample from the entire population as illustrated in Table 3.2 below.

Sample determination of the entire population

The total number of households (N) 1080 e = 0.02 Therefore, the sample was represented by:

$$n = 1080 / (1 + 1080 * 0.02 * 0.02) n = 758$$

Sample determination for strata

$$n = \frac{\text{population from strata} * \text{sample population from Slovin's Formula}}{\text{Total population}}$$

Table 0-2. Summary of households' population and samples as determined using Slovin's formula

Zone	Total Number of Households(N)	The sampled population of households(n)
Bubirabi	630	442
Sisye	150	105
Mvule	157	110
Nyanza	143	101
Total	1080	758

Data and Statistical Analysis

Data were coded for analysis in Excel, Statistical package for the social sciences (SPSS) and PAST (Hammer & Harper, 2006). For coding of information regarding employment, the researcher adopted the UN International Standard Industrial Classification of all Economic Activities (ISIC) coding system (United Nations, 2008), to enable the researcher deal with fine numbers concerning multivariate responses, these digits are as shown in Table 3.3

Table 0-3 UN International Standard Industrial Classification of all Economic Activities (ISIC) coding system

Numbers (Codes)	Description
Unemployed	0.1
Student	0.2
Household job	0.3
Beggar	0.4
Casual labourer	0.5
Farmer	1.01
Baker/food manufacturer/	2.1
Beverage maker	2.11
Builder	2.12
Brick maker	2.23
Retailor (hawker, vendor, etc.)	3.47
Motorcycle “Boda boda” rider/driver	3.49
Accountant	4.69
Teacher	4.85
Soccer player	4.5
Religious activity	4.94
Business/landlord	3.48
Tailor	3.5
Security	3
Nurse/traditional healer	4.86
Mechanic	2.41
Carpenter	2.31
Electrician	2.43

Source: (United Nations, 2008)

Questionnaire data produces noisy data with many variables (multivariate). In order to understand the dynamics of social, economic, environmental and cultural factors, it is important to uncover similarities within data to construct meaningful groups and identify meaningful relationships. Multivariate statistical analysis can be used to exploring underlying structures in various kinds of complex and multi-dimensional datasets. To do this, cluster analysis, a

multivariate technique used to discover a system of organizing observations where members of the group share specific properties in common was used. It was able to identify groups without previously knowing group membership or the number of possible groups and thus was not subject to premeditated bias on the part of the researcher (Yim & Ramdeen, 2015) . There are a number of different methods that can be used to carry out a cluster analysis, including hierarchical (agglomerative or divisive) and non-heirarchical. For this study, heirarchical agglomerative methods which provide an effective way to look for similarities in data, as a practical method in identifying meaningful clusters within samples that may superficially appear homogeneous, but without making decisions about any expected final number of clusters was applied (Yim & Ramdeen, 2015).

In cluster analysis, a way of measuring the distance between observations is needed and the type of measure used depend on the type of data. A number of different measures have been proposed to measure 'distance'. Average (between groups) linkage method (sometimes referred to as UPGMA =Unweighted Pair Group Method with Arithmetic Mean) is the distance between two clusters, and is calculated as the average distance between all pairs of subjects in the two clusters, this is considered to be a more robust method as it provides a more accurate evaluation of the distance between clusters (Kovach, 1989). Similarity/distance indices were used to compute a number of similarity (distance) measures between all pairs of data in rows and columns. The similarity-association matrix upon which the clusters are based can be computed using different indices. For the purposes of "Correlation" (Pearson's $1-r$) distance or "Rho" (Spearman's ρ $1-r_s$) have been found to be more effective distance measures (Kovach, 1989), since they rely on relative importance rather than actual values (Hammer & Harper, 2006).

The hierarchical cluster analysis was represented on a dendrogram showing how and where data points are clustered (Harper, 1999). This diagram illustrates which clusters have been joined at each stage of the analysis and the distance between clusters at the time of joining. As there is no formal stopping rule for hierarchical cluster analysis, a cut-off needs to be determined from the dendrogram to signify when the clustering process should be stopped (Yim & Ramdeen, 2015).

For this research, agglomerative hierarchical cluster analysis, using Unweighted Pair Group Method with Arithmetic Mean (UPGMA) distances based on correlation similarity measures were used, in order to seek patterns and strength of relationships within the many social, cultural, economic and environmental variables that affect households. Chi-Square was used to test the strength of relationship between variables (Yim & Ramdeen, 2015).

3.5.3 Transect Walks

Introduction

Transect walks are spatial data gathering tools. They provided the researcher with an overall view of the community and helped to identify issues that would merit further exploration. Accompanied by the Local Council elders, the researcher and team observed the conditions, people, problems, and opportunities in each of the selected zones. Members of the team talked to the people they met on the way to obtain additional information. The transect walks were used to cross-check oral information, to observe first-hand the interactions between the physical environment and human activities, behavior, values, attitudes, practices, and capabilities over space and time and to identify problems and opportunities. This included areas such as housing and sanitary conditions, economic activities including open-air markets and informal street commerce, and the roles of men, women, and children.

Geography students from the University of South Wales were used as data collectors. They were led through the Namatala ward by officials from the Red Cross offices in the Mbale office who are familiar with the area.

Procedure

A route was identified to cover the zones under study. A line was drawn through Namatala touching Sisye, Muvule, Bubirabi and Nyanza cells identifying what to look for in relation to the objectives. A table was drawn of what was heard and observed, noting the problems specific to the area, the issues to be pointed out and determining areas that needed to be further explored. At the end of the day, responses were recorded and discussed noting the similarities, differences, and patterns that came up during the exercise.

Validity and reliability

The degree to which conclusions were derived from the transect walks and stability of the process across various researchers and methods helped to judge the quality of the conclusions of the research (Miles & Huberman, 1994)The International Federation of Red Cross and Red Crescent Societies VCA tool kit (Red Cross and Red Crescent Societies, 2007) was used for this exercise. This tool had previously been tested in other locations and customized to the area under study. The findings were constantly cross-checked with information coming from interviews, questionnaires and other instruments used in this study.

3.5.4 Observation

Introduction

Observation is appropriate for comparing and contrasting (Flick, 2007). The researcher conducted regular and repeated observations to help sharpen the data collected through the other methods and to identify patterns. They assisted in understanding the slum environment as well as gaining a personal experience of the location and the social and economic environment, they provided a deeper understanding by observing users without invading their privacy. It also helped to determine the number of people, activities, management spatial and temporal distribution.

Items of observation included socio-economic activities/livelihood approaches, environment, and cultural activities among others as detailed in the observation checklist (Appendix II). Photographic, video and audio recordings were used as supplementary evidence to back up findings of the research.

Participants

The Local Council Chairman and elders for each cell were used as gatekeepers to seek their approval and support (Appendix VII). The data clerks that were used for the survey were also taken through training on observation.

Procedure

An observation guide was developed to provide a reminder of general themes. All the data clerks that participated in the survey used little notebooks guided by the observation guide (Appendix II) to note any aspect of the four thematic areas observed, the cultural, economic, social

and environmental aspects in Namatala and in relation to the research objectives. The gatekeepers who were the local council chairpersons of each of the zones under study also played the significant role of taking the researcher and the team to the directed sites (Schensul, et al., 1999). Experienced translators and interpreters helped in bridging language differences as well as seeking consent from the participants. Notes were made on almost everything using notebooks and guided by the observation checklist (Appendix II). At the end of the day, the checklists were compared and recorded for the different data clerks, any deviation in the observations was probed further during the meetings. This directed the researchers' attention to the elements that emerged as essential or not both at the theoretical and the empirical level.

Validity and reliability

Reliability is a measure of the degree to which any given observation is consistent with the general pattern and not the result of chance. Validity, on the other hand, is a measure of the degree to which an observation demonstrates what it appears to demonstrate. What is done in an observational analysis is not truly replicable. To curb this, the researcher conducted the observation in a systematic fashion using a similar recording technique. A team of research assistants was chosen to represent various viewpoints and each member crosschecked the others' work to discover and eliminate inaccuracies. The consensus of the group always prevailed (Flick, 2007). The process was repeated regularly throughout the research to take care of the bias from subjective interpretations. The observation checklist used the four thematic areas of the questionnaire as the checklist. Details were recorded in as nearly an objective manner as possible. Meaning to the observations formed part of the interview questions, later on, findings were tested in search of negative cases (Schensul, et al., 1999). When writing up the results, the researcher used descriptive

language in a coherent and consistent narrative. This is in line with studies carried out earlier by other researchers on the question of validity of qualitative research (Seale, 1999; Guba & Lincoln, 2005).

3.6 Policy Audit

3.6.1 Introduction

This involved policy document analysis of international, regional (African) and national (Ugandan) and local (Mbale Municipal Council), urban policies and plans. Further recognition of policy within NGOs, CBOs and community stakeholder groups was done.

3.6.2 Policy Documents Analysis

Policy Document analysis is a social research method and is an important research tool in its own right (Cardno, 2018). It is an invaluable part of most schemes of triangulation (Bowen, 2009). As a research method, Policy documentary analysis recommends itself to many qualitative researchers as straightforward, efficient, cost-effective and manageable. Its major advantage is the availability of documents, usually at little or no cost to the researcher, the documents are stable, “non-reactive” data sources, meaning that they can be read and reviewed multiple times and remain unchanged by the researcher’s influence or research process (Bowen, 2009).

The researcher treated the document like a respondent or informant that provided the researcher with relevant information and the gathering of a census of International, African, National, and local policies relating to the social, economic, environmental, and cultural issues as they relate to slums. This relates to the socio-political environment and requires understanding of

the antecedents of the policy; the issues and pressures that gave rise to a need for the policy in the first place. What was considered was the genesis and history so that the policy background could be established and the policy consequences that are related to the way in which a policy is interpreted and implemented were examined (Silverman, 2006).

Policy trends were characterized and showcased to show the evolution of legal thought on the slum situation in Uganda and Namatala in particular. The Policy document analysis aided in investigating the nature of the policy documents in order to look at both what lies behind it and within it and also how it guides implementation actions (Cardno, 2018), it allowed the researcher to understand how the place works. Although official statistics are subject to criticism, they provide useful empirical data and reduce the risk of bias (Bulmer, 1984). Critical analysis of the publications was employed as they are subject to critique, but they provided useful information that helped to shape the research and for triangulation with the interviews.

The spectrum of policy targets was identified via qualitative inductive reading of policy documents and describing policy attributes and trends from the international levels down to the local level while evaluating the policies in comparison to expert recommendations. The policy documents provided background information and broad coverage of data, which were helpful in contextualizing the research within the subject of sustainability within slums (Bowen, 2009).

To get a comprehensive set of policies, policies were searched that were passed by the United Nations bodies and African and Uganda National and local policies that related to slums in relation to sustainable development with emphasis on the environment, social, cultural and economic attributes of a place. The objective was to capture and describe the most complete spectrum of policies related to slums (O'Leary, 2014). To accomplish this, the policies were read looking for the actions (human behaviors) called for by the policies and responsible actors (government CBOs,

NGOs and communities) named in the policies for place making. The Policy documentary analysis used in the research included, Policy, Legal and Institutional documents from the international level to Namatala. The major emphasis was on the text but all aspects of how a policy comes into being and how it is translated into practice were taken into consideration (Cardno, 2018).

3.6.3 Interviews

Introduction

The interview is among the oldest and most common methods of data collection (Al Yateem, 2012). The underlying assumption is that interviews result in accurate information about respondents and their circumstances (Guba & Lincoln, 1981; Fontana & Frey, 2003). Interviews with selected municipal authorities were done to understand governance issues both formal and informal. Interviews provided a rich quality of responses that provided detailed information from respondents (McNamara, 1999). The interviews were semi-structured to allow the interviewer to seek clarification and elaboration to the answers given (Kvale, 1996; May, 2001). They were organised around thematic areas. Key issues included the environment, culture, economic, and social aspects and overview of community and perception of place. The socio, physical and cultural dynamics of the Namatala community were examined and following conventional qualitative content analysis approach, themes arose as the individual interviews progressed in line with place making by identifying place based strategies as either people or place centred. The interviews were prearranged to take place at a place and time of convenience to the interviewees (Hollowitz & Wilson, 1993). They were semi-structured to give the respondents flexibility in providing their answers and that the researcher could ask supplementary questions to enrich the findings. The researcher was, therefore, able to tailor the questions to the position and comments

of the interviewer but were not bound by the codes of standardization and reliability (Banister, et al., 1997). The skills of interviewing for both the researcher and the respondents were learned as the interviews proceeded (Kvale & Brinkman, 2009).

The interviews with the representatives of Mbale Municipal Council were centred on policy legislative and institutional frameworks at play in Namatala and triangulated with the policy document analysis. Six interviews were conducted after the review of the questionnaire, observation, and policy document analysis and community focus group discussion findings. Each interview lasted 1-2 hours. The researcher obtained signed informed consent forms which showed that participants were willing to participate (Wiles, et al., 2008). This was aimed at protecting both the participant and the researcher. The consent met the requirements of ethics of conducting research and provided information about how the findings from the data will be used. At the beginning of the interviews, participants were informed that interviews were voluntary and that the interview was confidential (Van Den, 2005). The selection of the respondents was in relation to the offices they hold.

Content

The interviews with the representatives of Mbale Municipal Council were centred on policy legislative and institutional frameworks at play in Namatala and triangulated with the policy document analysis. Policy issues as they relate to the economic, partnerships, slum and community participation were investigated and compared available literature and to how they relate to the general cultural and historical aspects of the community. Similar answers were clustered together and the key issues emerging from the interviews identified and analyzed. A video and audio

recording were done with permission from the respondents, including still photos. Each responded voluntarily signed a consent form (Appendix VII).

Recording of interviews

Voice recordings were made of the interviews to avoid distractions of the researcher while writing notes. All respondents were asked if they would agree to the voice and video recordings and all consented (Al Yateem, 2012). The researcher was responsible for editing and interpreting the responses taking care not to misrepresent the views of the participants.

Transcribing

Transcription is part of the analysis process (Kvale & Brinkman, 2009), it involves decision making of the detail and context to be included or excluded. The researcher first did a word by word write up and then carefully transcribed in order not to lose the meaning. Field notes were written in addition to those made during direct observation.

Participants

Purposive sampling was used to select the technical staff at Mbale Municipal Council. In the municipality, technical staff are recognized by their positions and responsibility as custodians of information on local governance and management. Thus, they were valuable informants that this study sought to find (Al Yateem, 2012). This study selected experts in the variables under study who included the deputy Town Clerk, Economic and Physical Town Planner, Community Development Officer, the Environmental Officer, and the Mbale Municipal Development Forum

(MDF). Since the custodians of the municipal management policies are in the municipal council, the researcher relied on their responses rather than the ones in the division offices.

Procedure

Face to face structured interviews where the researcher asked a fixed set of questions to every participant were used to collect data from the selected technical staff of the Municipal Offices. Open-ended questions and in-depth discussions were conducted to bring out relevant information particularly in relation to policy, technical issues and issues related to clean and safe water supply, toilet facilities, health facilities, and schools (nursery, primary and secondary), garbage management, pressing problems in the slums, the interventions undertaken and the effect of the interventions from the concerned government officials at the municipal offices and the third sector organizations that operate in Namatala (Al Yateem, 2012). This was done to discover the views and interventions of the government on the issues being sought and to identify the constraints within which existing policy and any new policy proposals operate (Guba & Lincoln, 1981). During data collection, official permission was sought from the Deputy Town Clerk. Coding open-ended responses were done before data entry (Figure 3-3). This was done based on the range and frequency of observed responses. Data was coded to facilitate quick interpretation, themes coming out of the interviews were grouped and entered as codes with broad concepts (Bazeley, 2007). Direct quotes were also used to bring out the issues as they were said. Reports were generated covering thematic areas. Each interview took an average of 2 hours.

A major critic of interviews is that they tell the researcher little about reality external to the interview. In essence, however, interviews reflect the meanings people derive from their

surroundings and thus aid in understanding social reality from specific viewpoints (Donalek, 2005; Holloway, 2008).

Validity and reliability

The researcher endeavoured to ensure that the interview was efficient and that the data gathered was rich, accurate and as close as possible to reflect the issues in Namatala as a place by directing the questions to be asked based on the thematic areas under study. Questions asked were, therefore, carefully selected and participants selected from professionals working at the Municipal Council offices. A schedule was prepared to make the questions feel spontaneous to the participants. The research study was also explained to the participants and an appropriate setting selected to make them feel comfortable. Before the interview date, the researcher familiarized herself with the participants in their respective offices (Al Yateem, 2012). Content validity of the interview guide (appendix V) was measured by engaging the research supervisors in assessing the relevance, clarity, and necessity of the questions asked given the research objectives and the emerging themes. After discussion, some questions were added/deleted. Further, the validity of the data produced through the interview was contextualized through the use of participant observation and policy documentary research analysis (May, 2001). The validity was also assured through triangulation using different methods to verify findings.

To measure reliability, a pre-test was done on a municipal official who would not be included in the main study, and the document cleaned for any ambiguity. The recordings also provided a basis for reliability and validity (Al Yateem, 2012).

3.6.4 Photographic Representation

The researcher took photographs throughout the research. They provided a visual representation of the area and documented the interviews and the FGDs. They are visual sources of data that are integral to the study, and they are capable of being analyzed (Ball & Smith, 1992).

This research used photographs of individuals or objects as a source of evidence. The use of visual material in social research has increased in recent years (Banks & Zeitlyn, 2015; Pink, 2012; Rose, 2012) They were used as memory aids during fieldwork and as sources of data (Bryman, 2004). The researcher influences what a photograph reveals and how it is composed (Bryman, 2004). Although photographs are objective in that they represent a specific moment in time and place, they also reflect the photographic interpretation of the place. As such the photograph as a representative of the social world is problematic (Banks & Zeitlyn, 2015). In this research, the photographs are used to highlight and develop the researcher's argument concerning Namatala and to humanize findings (Russell & Diaz, 2013).

The meanings of photographs can vary depending on the cultural and social context (Pink, 2012). The researcher used pictures in this study to reveal the nature of Namatala and to tell a story of the changes occurring thereof. The images used are representations of place at a particular moment in time and a particular context in line with the research questions. The photographic representation of Namatala gives a sense of the situation in Namatala. The use of visual images allowed the researcher to provide a wider context and deeper insight into the world of Namatala (Grady, 2008) and to illustrate points. This allowed the researcher to make a more informed and detailed analysis of the data, enabling an examination of the validity of the data produced. This enabled the analysis of data to be an ongoing process throughout the research.

Taking photos of people can be an invasion of their privacy (Creighton, et al., 2008). As a result, the researcher did her best to be culturally sensitive by restricting the number of photographs taken from a distance to avoid recognition or by getting consent beforehand (Langmann & Pick, 2018). The photographs are to be taken at their face value (Kelby, 2009).

3.7 Community Stakeholder and Capacity Audit

A second Focus Group Discussion consisting of third sector organizations, government and other actors within Namatala was done. The participants were invited through invitation letters two weeks before the session (including consent from the local leaders) to contribute their opinion on the matters under discussion, to explore their Strength, weakness, opportunity and threats (SWOT), the different capitals that exist in Namatala and find different ways in which they could collaborate. SWOT analysis was used rather than using the more recent SWOC (which is sufficient for internal analysis within an organisation but not very valid for the external analysis that is required in this research), (Gürel, 2017; Aithal & Kumar, 2015). The intention was to gain an in-depth understanding of Namatala by obtaining data from the third sector organizations working in Namatala. This offered a platform of differing world views from the different third sector groups present (Guba & Lincoln, 1994). The method has been used by sociologists since the 1940s (Merton & Kendall, 1946; Merton, et al., 1956). Since then, FGDs have become popular in other disciplines (Flores & Alonso, 1995; Morgan, 1996).

3.7.1 Participants

The focus group participants were selected from the third sector groups working in Namatala. Formal invitations were sent to them basing on a list derived from the Municipal Council

Community Development offices. This consisted of members from the different NGOs, CBOs, and government officials including the police that responded to the invitation. Since purposive sampling was used to reflect the diversity, the sample size was defined according to each organization that was represented (Krueger & Casey, 2000). The groups were made aware that it was not their normal planning committees, but an academic research study (Kitzinger & Barbour, 1999). Convenience sampling which is a non-probability method that allows the researcher to use available subjects at the time of data collection was applied to select members of local leadership and the police. These are people who are not always at their offices and inviting them has financial implications. To avoid this limitation, only those local council leaders and police officers who were available during the data collection period were conveniently selected. These categories constitute the stakeholders of the slum area either by way of planning and management or as beneficiaries of the expected services from the municipal authorities.

3.7.2 Procedure

Based on the research objectives, a list of questions was prepared as guidance for the FDG session (Krueger & Casey, 2000). Separate workshops were held in the morning for two groups, an NGO and a CBO. Child of Hope, an NGO, had a separate workshop in the morning at their place of work in Namatala and a CBO, Namatala Community Development Organization (NCODO) and the police had a workshop at the community hall at the police station in Somero cell. Three groups, Njenga and Child Fund invited the researcher on separate days within the week to experience first-hand what they do in Namatala. The aim was to investigate what the organizations were doing in Namatala as individual groups, their strengths, weaknesses, challenges, and opportunities to be able to capture and explore opportunities that may be known

about or are missing and to look for ways to create a path towards the future that allows the place to flourish.

The information was recorded in audio, video and still pictures and later transcribed to inform on chapter six. This included an in-depth analysis of the origin, formation, funding sources, governance, and policy within the third sector organizations (Berry & Kinheloe, 2004).

Later, the researcher met with youths from Namatala who have formed a self-help group, “Youth for a Covenant Mission”, a community-based organization comprising of former and current street children. This supplied important information for triangulation purposes regarding intervention from the third sector groups, with the information from the focus group discussions. Each of those discussions took an average of two hours (Tobias, et al., 2018).

The groups were joined in the afternoon by four other NGOs, Njenga, Child Restoration Outreach (CRO), Child Fund, Namatala local and government leaders. In the plenary session, each group introduced themselves in relation to formation, functions, funding, challenges, and successes. Participants were assigned to smaller groups selected per organization, each with a transcriber (Morgan, 1996). This consisted of Geography students from the University of South Wales, who assisted as rapporteurs and transcribers for the exercise since the numbers were large (Litosseliti, 2004). Each organization was put in its group to discuss their SWOT in relation to the capitals, social, physical, cultural, and financial that exist for them and in Namatala and any other emerging theme in relation to the cultural, economic, environmental and social aspects observed in the place.

After a two-hour session, a plenary session for the larger group was convened to bring the views from each group together. Notes were taken in the sessions. Recordings were made with audio and videotape and still photographs. The recordings were later transcribed for further

analysis. In analyzing the data, the field notes were expanded and a general summary of the proceedings of the FGD was done. This provided a basic reference to the main topics and/or issues that were discussed (Morgan, 1988). The researcher tried to convene all the groups working in Namatala.

3.7.3 Positionality

Research represents a shared space, shaped by both researcher and participants (England, 1994). As such, the identities of both researcher and participants have the potential to impact the research process. Positionality is the practice of a researcher delineating his or her own position in relation to the study, with the implication that this position may influence aspects of the study, such as the data collected or the way in which it is interpreted. In this study the researcher involved University of South Wales Undergraduate and postgraduate students as research assistants and rapporteurs for the questionnaire, interviews and focus group discussions, in line with the study's initial learning timetable outcomes of supporting the learning of others (Appendix VIII), as a result, the issue of positionality arose and was addressed. To mitigate on any biasness, the researcher explained to the participants that the data collected was for academic research. Since the majority of the participants included individuals that understood the importance of research and working with international partners, this was not viewed as a threat. As evidenced by the wealth of data that was borne out of focus groups and interviews, it was apparent that these participants had no shortage of experiences to draw upon in the conversations. The researcher's positionality may have served to create spaces in which the NGOs, CBOs and the community had a voice, and spaces in which they were not afraid to talk since we were not representing the donors but having healthy discourses, also the students were mainly present as either observers for

learning purposes or rapporteurs, otherwise the interviews and focus group discussions were directed by the researcher.

3.8 Limitations of the study

Much effort and expertise were required (Litosseliti, 2004) particularly because of the large data collection and the fact that equal weight was given to each data type. This was addressed by forming a research team that included members who have quantitative and qualitative expertise.

Requiring all the respondents to sign the consent forms was a difficult task, especially for the household questionnaire, because some demanded payment before signing and a majority had only basic education and therefore unable to fully understand the purpose of the study (Morgan, 1996). This challenge was surmounted through the translation of the document to three other languages that are common in the informal settlements. To a greater extent, local leaders explained that the purpose for the study was academic and not a proposal to raise funds and that the study could help with finding workable solutions for their different circumstances.

The researcher was not able to involve all the third sector groups working in Namatala although they were invited. Follow up revealed that they had other activities on the day of the FGD. The attendance, though, was a good representative sample.

It was expensive for the researcher to have the focus group discussions because to get people from their regular places of work required that they are facilitated with transport to and from the venue, including tea and snacks provided at the end of the session.

3.9 Summary of Chapter Three

Chapter three discussed the mixed methods design employed in this study (Hanson, et al., 2005). It underscored the use of place study to fully understand the place characteristics and dynamics. Quantitative and qualitative data were collected, analyzed and combined for meaningful interpretation specific to the research questions and objectives (Kothari, 2004). Drawn from mutually supported data, the connected findings offered a complete and valid analysis of Namatala and the conditions thereof. Data was collected via questionnaires, focus groups and individual interviews, transect walks, observations and physical delineation, photography and mapping. Survey questionnaires were carefully chosen to measure the level of and relationship of the environment, social, economic and cultural factors that are at play in Namatala. The interview guide and policy document analysis was designed to investigate the international and local policies that speak to slums in Uganda. It examined the role of government in slum development including mitigation measures put in place for sustainable development. Quantitative data was deductively analyzed using descriptive and inferential statistics, while qualitative data were inductively analyzed using a constant comparative method of analysis to code data, identify themes and emerging patterns and categorize findings (Creswell & Clark, 2010). The chapter further explains the methodical approaches and methods adopted for this research which were linked to the aim and objectives of the research informed by themes developed within the literature review (Carrey & Smith, 1994). Intangible factors such as cultural norms, socioeconomic status and practices related to ethnicity were relevant for this study (Burrows & Kendall, 1997). After the independent analysis was completed, the findings were jointly interpreted and discussed in Chapters 4, 5 and 6 with Chapter 7 for the findings and conclusion. The subsequent chapter reports the findings of the research, it introduces the study of Namatala as a place.

CHAPTER 4: THE NATURE OF NAMATALA-THE SOCIAL, ECONOMIC, CULTURAL AND ENVIRONMENTAL PATTERNS

4.1 Introduction

This chapter addressed the first objective which sought to examine the form and evolution of Namatala as a place and objective two which explained the social, economic and environmental factors at play in the making of Namatala. Using place analysis, the production of the spatial patterns and dynamics of Namatala slum as well as its social-cultural economic and environmental outlook was examined. The chapter starts with the urbanization audit which defined and measured firstly, the physical delineation and secondly, the development and growth (dynamics) of Namatala slum. Information from on the evolution of Namatala was obtained from Key informant interviews and focus group discussion since published or official records on the origins of Namatala are limited. It then proceeds to analyse the social-cultural, economic, and environmental patterns in Namatala and their relationships. This audit was based on the four pillars and three principles of sustainable development.

This chapter is divided into the following sections: Section 4.1 covers the spatiality of Namatala slum, Sections 4.2, 4.3 and 4.4 evaluates the social, economic, cultural and environmental factors working in Namatala while section 4.5 analyses the social-economic-environmental relationships (explained and supported with the statistical findings and cluster charts). Finally, section 4.6 draws the conclusions of the chapter.

4.2 The Form and Evolution of Namatala as a Place

4.2.1 Introduction

This section addressed objective one which sought to examine the form and evolution of Namatala as a place. It defined and measures the physical delineation and examines the development and growth (dynamics) of Namatala slum. By so doing, it presents the geographical and historical setting of Namatala slum.

Firstly, it examines the location of Namatala, giving a snapshot of its urban spatial geography and what it looked like in a ten-year period 2003 to 2013. Secondly, it traces the origin and evolution of Namatala Slum and provides a physical delineation of the slum to show its extent. The last section covers the urbanization theme by measuring the urban growth, infill and change of Namatala slum and, by so doing, examines the spatial patterns and dynamics of the slum. Urban policy planners and implementers need a better understanding of urban dynamics in order to design (and implement) innovative, inclusive and sustainable urban policies within the context of socioeconomic development (Bidandi, 2015). Understanding the nature of the dynamics of the growth or decline of cities helps planners to support the processes that lead to harmonious urban development and to deal with the negative consequences of urban growth. This is crucial to the development of urban policies that can effectively ensure that further urban changes occur in a systematic and satisfactory manner while promoting planned urbanisation prevent or halt unplanned urbanisation.

4.2.2 Location of Namatala Slum

Namatala is a slum found in Mbale Municipality in the Northern division (Figure 4-1 and 4-2). It is located in the industrial division of the Municipality with a population of 24,123 (UBOS, 2016). Namatala ward, is made up of 8 cells: Somero, Mvule, Sisye, Nyanza, Wandawa, Doko, Bubirabi and Kiduda. During the time of this study, more cells have been created for political reasons.

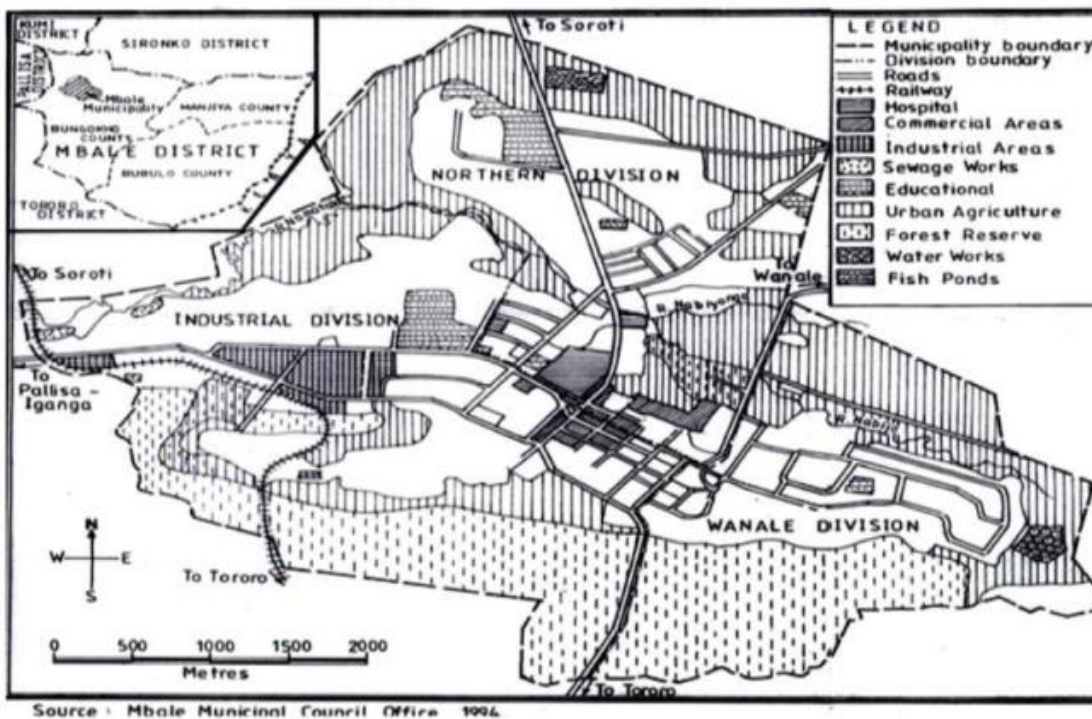


Figure 0-1 Mbale Municipality. Source: Mbale Municipal council office 1996

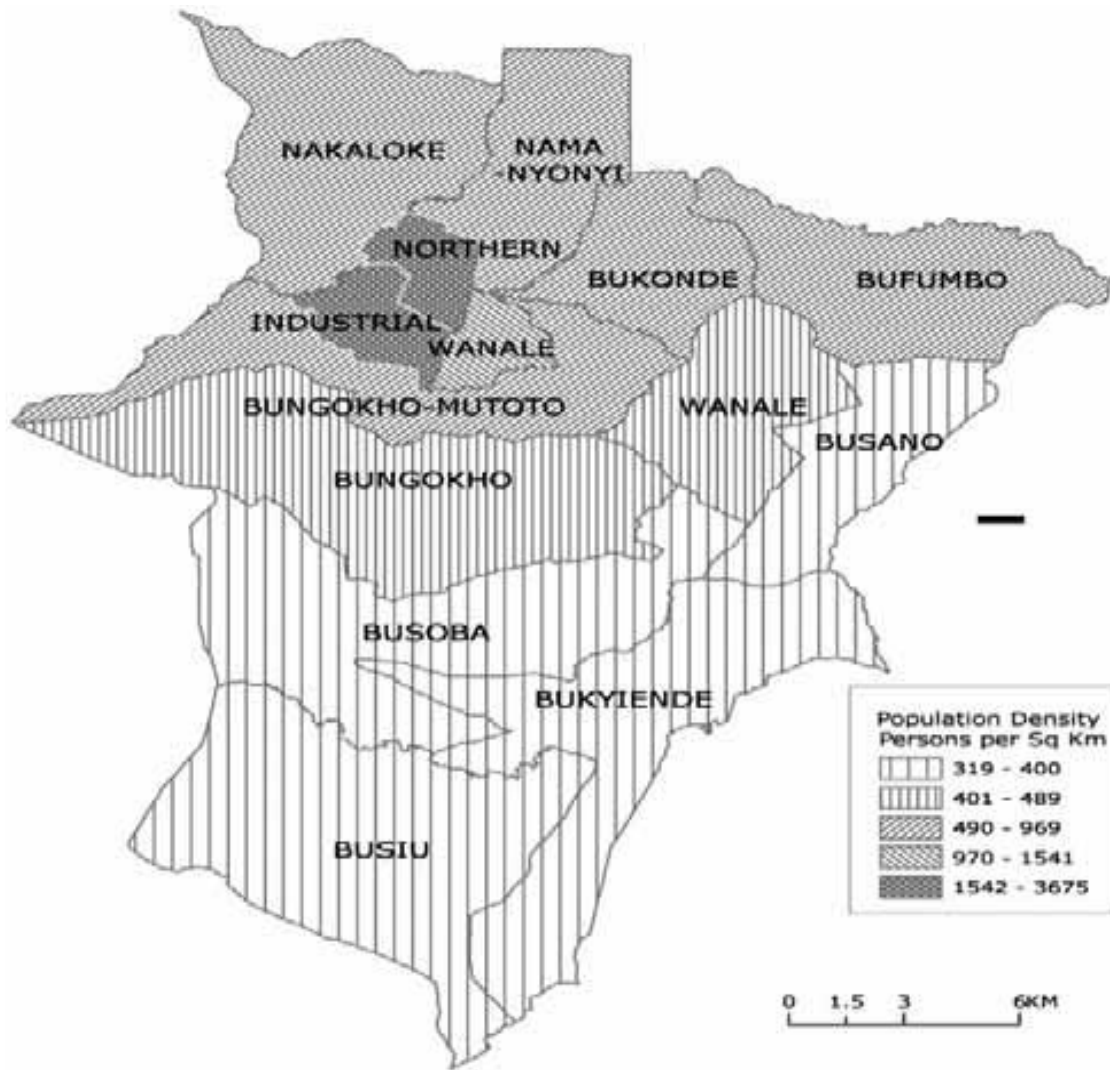


Figure 0-2 Mbale District Administrative boundaries and the Location of the Municipality

Source: Municipal Council Records

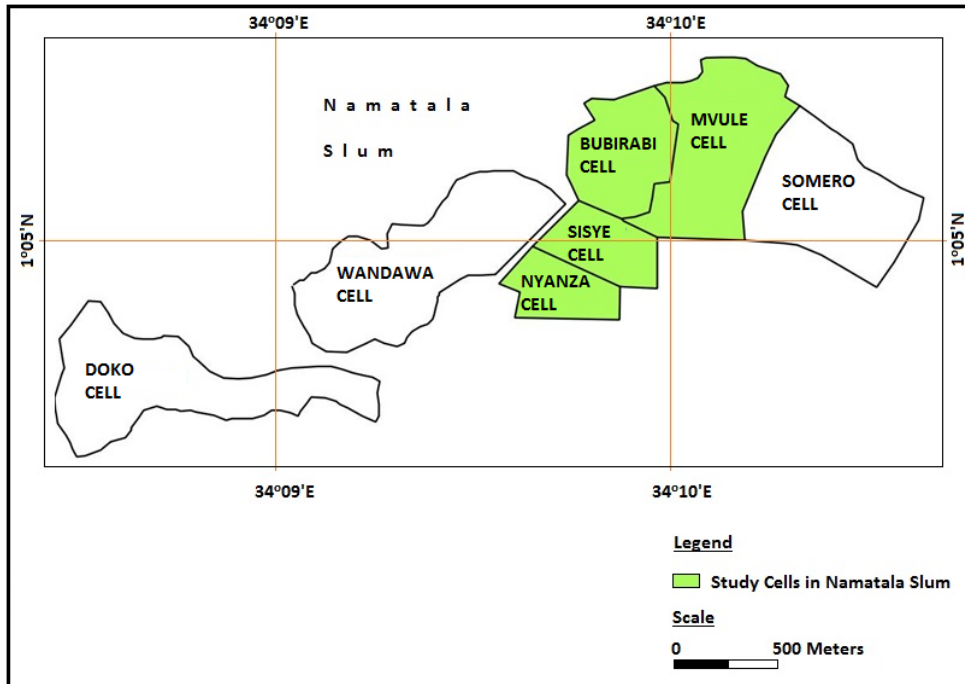


Figure 0-3 Namatala slum by Cells

Source: Researcher

4.2.3 The Origin of Namatala Slum

Namatala slum came to prominence due to the existence of Mbale town. Mafabi terms Namatala as a ‘slum region’ within Mbale (Mafabi, 2016). Mbale, in the local language, Bagisu, originally means a stone, ‘Mabale’. Mbale Municipality is the administrative and commercial centre of Mbale District and the largest urban centre in the Mt. Elgon region. It is located 245 kilometres by road East of Kampala. Mbale is the 7th largest city in terms of population in Uganda after Kampala, Gulu, Lira, Mbarara, Bwizibera, and Jinja. It is in the Eastern part of Uganda bordering Kenya. It consists of three autonomous but inter-dependent lower local Government councils/divisions, namely, Industrial, Northern and Wanale division councils covering about 24.35 km² (UN-HABITAT, 2012). The municipality is administered based on Uganda’s two-tiered

local governance structure. It is headed by an elected Mayor, the political head, supported by a council and a technical team headed by the Town Clerk.

Mbale town is nearly 110 years old, with its origins traced as far back as the late 19th century, when Arab slave traders ventured into the interior of East Africa and set up a commercial outpost at the foot of Wanale ridge, a part of Mt. Elgon (UN-Habitat, 2011). In 1903, the then colonial administrator, Semei Kakungulu, was tasked with the responsibility of extending British rule in the East, he staged his headquarters in a place called Budaka in Palisa District, one of the new districts in Bugwere. Later, he was instructed by the Britons to transfer the headquarters to Mbale, which he did in 1930. Later, Indian labourers working on the Uganda railway moved to Mbale town to engage in trade and commerce. Mbale was declared a township by the British colonial government on June 26, 1906 (Mafabi, 2016). Mbale therefore became a regional center hosting regional offices to date. By the time Uganda attained her independence, Mbale had been alleviated to the level of a municipality. It was, therefore, the first town in Uganda to be granted the status of an urban authority after independence.

Located at the foot of Mt. Elgon, Mbale town historically boasted of a vibrant economy based on traditional cash crops like coffee, cotton and consumable food products. Further, its strategic location within the eastern region made it attractive and competitive, especially as an important locus of trade within the region and beyond the border between Uganda and Kenya. By 1951, Mbale had established itself as the hub for business. The municipality grew rapidly to become a thriving regional commercial, industrial and trade hub. However, after the 1971 Idi Amin-led coup, Mbale experienced a serious downturn in its economic fortunes (UN-Habitat, 2011). During the turbulent times and with the departure of Indians, there was a reversal in growth and commerce declined. Its industrial base collapsed, and so did much of the infrastructure. This notwithstanding,

Mbale is still one of the most competitive and appealing business centres in eastern Uganda due to its close proximity to the Kenyan boarder (UN-Habitat, 2011).

Mbale is made up of various ethnic groups. This is because the British colonial agents who occupied Mbale came from different parts of Uganda. Mbale has three land tenure systems, lease hold, free hold, customary and milo. The later comprises of colonial agents who were given this land by the British colonial masters as reward for their service (Physical Town Planner, 2018).

The population of the Mbale municipality was estimated at 96,189 in the 2014 census. It is distributed in the three divisions with the largest being Industrial Division with 42,310 (UBOS, 2016). The Industrial Division had the largest population which is attributed to immigration (IOM, 2013). Many of these people live in slums. An estimated 42,310 reside in the Industrial Division where Namatala ward settlement a slum and a parish in Mbale Municipality, is located. The slum is the largest in Mbale with an estimated population of 24,123 people (UBOS, 2016).

Namatala derives its name from River Namatala that passes through the area. Before human settlement in Namatala, the place comprised of grasslands, forests and marshlands which were inhabited by wild animals. People began settling in Namatala in the 1930s (Mafabi, 2016). According to Stephen Nangabo, an elder in Mosque Zone (Sisye Cell);

“Namatala was a bushy place without inhabitants until the 1930s, when a businesswoman known as Peninah from Kenya, bought a plot there and built on it. She was later joined by three other people”.

These first inhabitants of Namatala set a pace that has continued to date. Their first businesses were bars targeting employees of the defunct African Textile Mills located in the industrial division. Nangabo’s father, who migrated to Namatala in 1953, also operated a bar for survival and his son inherited the business when he lost his job at African Textile Mills.

Around 40-45% of the people living in Mbale slums are from Mbale, Karamoja (Kotido, Moroto and Nakapiripirit districts). Others are mainly from the Teso sub-region (Katakwi, Amuria, Soroti, Kumi, Bukedea and Kaberamaido districts) and Acholi sub-region (Gulu, Kitgum, Pader and Lira districts), and from other districts, like in the West Nile-Arua sub-region (MCellroy, et al., 2012). Most of these residents left their rural homes to escape from drought, civil unrest, and natural disasters such as floods and landslides, as well as to search for employment.

A number of reasons can be given for the occupation of Namatala slum by various immigrants. The residents of Namatala were forced to relocate from their original homes because of socio-economic, environmental and political reasons, including insecurity and civil wars (Dolan, 2009). More people have joined the slum over time due to civil unrest, drought, natural disasters like floods and landslides leading to the creation of more zones (Mafabi, 2016). Mbale and Bugisu areas have been severely affected by landslides affecting the Bagisu and Bagwere, while in Teso and Karamoja regions people have been affected by cattle rustling. Further, war has led to the death and displacement of many people. Others, like criminals, hide in this area for fear of being arrested and subjected to mob justice or imprisonment. The population also increases every year as a result of natural increase. People have therefore inhabited the slum to escape civil wars, natural disasters, crimes committed against humanity, and in search of employment. Namatala slum is highly populated with poor people.

When we went to the field there is a question we ask, why are you living in these slums when did you come? Somebody will say I came for marriage, somebody will say I committed a crime in the village, somebody will say it is near to my work place, somebody will say am studying from here, somebody will say I was born here, somebody will say, so it's the whole thing is, its intermingled, so you realize somebody will say I inherited this so, being a centre that is what happens (Chairperson MDF 16th March 2018).

Most people took refuge in this area to escape wars and insecurity that were widespread in their ancestral homelands. Firstly, Uganda suffered largely due to the actions of Joseph Kony who

instigated a war in Northern and Eastern Uganda that lasted for almost two decades (MCelroy, et al., 2012). Secondly, a large number of occupants from the northern region were forced into Namatala by insecurity resulting from cattle rustling in Teso and Karamoja regions (Green, 2009). Between 2006 and 2007, the Karimojong people also fled from armed conflict in their home area caused by the government's disarmament exercise (Mary, 2010). All these factors have played a key role at forcing people to settle at Namatala slum.

Namatala was occupied in the 1970's and 1980's when there was an insurgence in the north. The insurgence, drew people from Karamoja, Northern Uganda and Teso who were regarded as refugees, to the extent that the government catered for them in 1986. The government provided them with their needs such as food. However, when the northern region was fighting against the present government, the government decided not to help them so the people remained in Mbale in great numbers, most of them have not gone back and they have no help. These areas have remained unplanned and eventually turned into informal settlements like Namatala. (Mbale Development Forum, 2018).

Research indicates that natural disasters such as drought, floods, pestilence, mass wasting, tsunami, hurricanes and others are also dynamics responsible for changes in cities and towns (UN-HABITAT, 2003). When disasters occur, they cause displacement of human populations which can result into urban population growth impacting negatively or positively to the urbanisation process (Popp, 2006).

Other people, have migrated in search of employment. Because of the kind of life and conditions in the villages the majority of the people have abandoned their villages, looking for greener pastures. Over the years, the population in search of cheap residence, employment in the municipality and companies and to provide services to the town led to the increase of population in Namatala slum (Cities Alliance, 2018). Many of the rural-urban migrants end up in Namatala due to the high costs of living in the town. As a result, these people have faced challenges due to changes in their livelihood options (MCelroy, et al., 2012). These migrant populations, majorly the poor people, end up settling in informal settlements which previously were not settled because

of their conditions partly being wetlands and also lacking the physical infrastructure at the time. Other people settled here came to Mbale when industries were performing and marketing boards had been formed. According to Mafabi, mushrooming of slums in Mbale resulted from the migration of people to this urban hub, seeking employment which put a strain on the infrastructure. With the collapse of all these companies, people had nowhere to work.

Namatala slum has therefore grown from what was initially a refuge for immigrants from war torn areas and a hiding place for criminals to an estate for traumatized people and those who lack substantial incomes to access quality houses to rent. Over the years, the population of slum inhabitancy has increased in search of cheap residence and in search of employment to offer labour to industries, companies, and sale of services to the town population (Mafabi, 2016).

Table 0-1 Ethnic Representation in Namatala

Ethnic group	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Bagishu	35%	14%	50%	65%	41
Itesots	21%	39%	10%	7%	19
Karamojong	25%	36%	2%	4%	17
Others	8%	7%	13%	4%	8
Bagwere	2%	1%	11%	8%	6
Basoga	4%	1%	8%	8%	5
Baganda	5%	2%	6%	4%	4

(Source: Household oral survey questionnaire, Q13 N= 758)

The population of Namatala slum thus originated from the Eastern (62%) and Northern (33%) regions of Uganda. The Bagishu, Ateso and Karamojong are predominant in the slum. The largest ethnic group in Namatala was found to be the Bagishu (41%) followed by the Itesots (19%) and the Karamojong (17%), (Table 4-1). The highest concentration of the Itesots and Karamojong community are found in Mvule (75%) and Bubirabi (46%) cells while the Bagishu are mainly

found in Sisye (65%) and Nyanza (50%) cells (Table 4-1). Namatala slum is located in the geographical ancestral homeland of the Bagishu and this explains their predominance in Namatala. Coming from the Northern and the North-Eastern region of Uganda, the Karamojong and Itesots, who are of the same ancestral descent and cultural heritage, are the immediate neighbours of Mbale.

On average, 54% of the respondents had lived in Namatala for more than 10 years, 32% had lived between 2-10 years and very few, 14% had lived in Namatala for less than 2 years, showing that 86% of the population living in Namatala had been there for more than two years, indicating that the slum is an old and established slum (Table 4-2).

Table 0-2. Length of time lived in Namatala

Period lived	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
More than 10 years	53%	61%	55%	46%	54%
2 – 10 years	37%	32%	31%	28%	32%
Less than 2 years	10%	7%	14%	26%	14%

(Source: Household oral survey questionnaire, Q11 N =758)

The first cell to be inhabited in Namatala was Mvule. The influence of development on the slum dwellers and gentrification because of opening of new roads, construction of improved accommodation by the landlords, pipe water connection and the establishment of other facilities such as schools can explain the fact that the numbers of people who have lived in Namatala for a short time, except for Sisye are very low. These modern establishments come along with costs that should be met by the beneficiaries and, when the wage increase of slum dweller is slower than the rate of development, they are forced to move out to other slum establishments or back to their home of origin (Arimah, 2010).

4.2.4 Delineation of Namatala Slum

A delineation of the area of Namatala, classifying informal settlements was done not only to show land cover change but also to identify the growth and possible spread of the informal settlements within Namatala Ward (Figure 4-4). Figure 4-5 shows the output of the delineation of the Namatala ward within Mbale in the North East of Uganda.



Figure 0-4 Delineation of the Namatala Ward, with the 2013 Google Earth Image.

Source: Researcher

The ward was divided into 10 zones that were relatively equal in area with the boundaries defined by roads (Figure 4-5). Besides aiding in the collection of the primary data for this study, the delineation of the Namatala ward was fundamental in the construction of the zones to aid in

the visual housing counts. This was to assist in the analysis of urban growth in the Namatala ward and to ascertain zones experiencing the most growth (Kayet & Pathak, 2015).

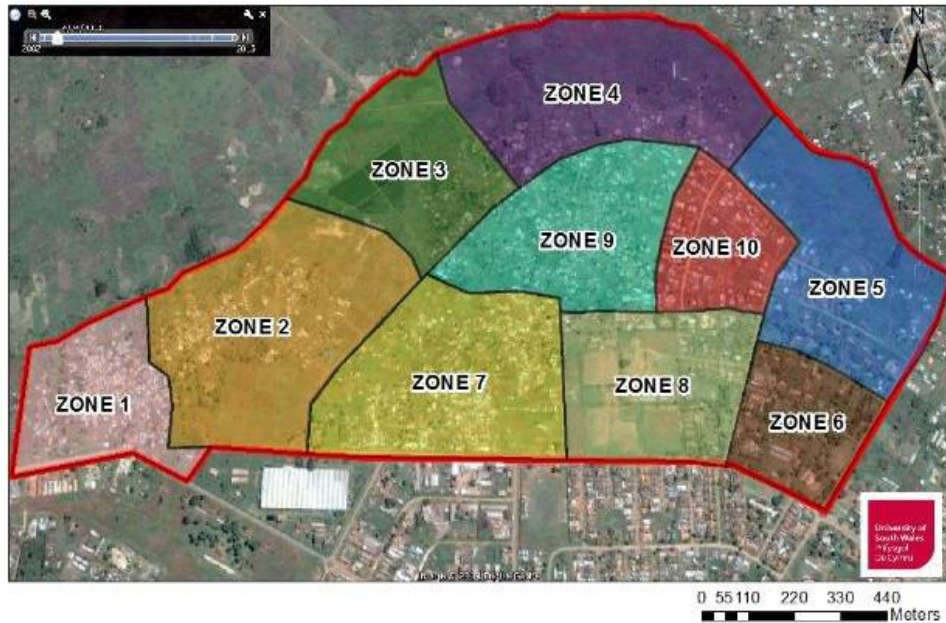


Figure 0-5 Zoning of the Namatala Ward using the 2003 Google Earth Image

Since there were no available official maps of the cells, the researcher identified the red zoned area in figure 4-5 to represent the area covered by the cells with the help of the Local council chairpersons. The red outline, thus, represents the boundary of Namatala. This area falls within the classification of informal settlements which include Mvule, Sisye, Bubirabi and Nyanza, the core of Namatala, represented by zone 7, 8,9,10 and part of zones 3 and 4.

4.2.5 Changes in Namatala between 2003 and 2013

Namatala has a mixture of traditional grass or bamboo thatched round shaped mud huts, semi-permanent houses with mud walls roofed with iron sheets and permanent houses built with local clay brick and sheets of tin as roofing. The former will be referred to as huts while the later will

be referred to as houses. This study found that, in most zones, majority of the dwellings in the study area both in the year 2003 and 2013 were houses and not huts (Table 4-3).

Table 0-3. Visual Housing Counts and Huts in 2003 and 2013 in the Namatala Ward

Date	Total Number of Houses	% of Houses	Total Number of Huts	% Of Huts	Total Number of Houses and Huts
2003	2249	75.8	718	24.2	2967
2013	4320	83.9	829	16.1	5149

Source: Field Research

Zone 7 had the largest number of ‘Houses’ while zones 3, 4 and 9 had the lowest number of houses of which half of the dwellings, 40% and 50% respectively, were huts. Within zone 2, 5 and 6 there were no ‘Huts’ in 2003. The visual housing counts show a large increase in the total number of ‘Houses’ with the number of ‘Houses’ almost doubling in all the zones and the number of huts decreasing (Table 4-3). While the number of ‘Houses’ increased from 75.8% in 2003 to 83.9% in 2013, the number of huts decreased from 24.2% in 2003 to 16.1% in 2013. Zones 3 and 4 had the highest percentage increase in the number of houses from 46.7% and 59.4% to 96.8% and 91.6% respectively between 2003 and 2013. The lowest percentage increase in housing was in zone 9 at 54.2%, which also has the highest increase in the number of huts at 45.8%.

The periphery of Namatala appeared to have few ‘Huts’ and more houses. There was a significant comparative reduction in the proportion of round huts in most areas indicating gentrification. The counts for the ‘Huts’ in the majority of the zones (1, 3, 4, 7, 8, 10) decreased. The highest percentage decrease in huts was in zone 3 at 58.3%. This suggests an increase in affluence in these zones enabling the inhabitants to upgrade their living accommodation from ‘Huts’ to ‘Houses’.

Table 0-4. Visual Housing Count per Zone in 2003 and 2013

Zone	Number of Houses		Number of Huts		Number of Houses		Number of Huts	
	2003	%	2003	%	2013	%	2013	%
1	358	95.7	16	4.3	672	98.8	8	1.2
2	250	100	0	0	557	100	0	0
3	84	46.7	24	13.3	306	96.8	10	3.2
4	82	59.4	56	40.6	262	91.6	24	8.4
5	100	100	0	0	234	100	0	0
6	69	100	0	0	96	100	0	0
7	643	81.3	148	18.7	1045	94.3	63	5.7
8	87	77.7	25	22.3	191	88.8	24	11.2
9	439	50	439	50	767	54.2	694	45.8
10	137	93.2	10	6.8	190	96.9	6	3.1

Source: Field Research

The only zone to experience increases in the number of ‘Huts’ in the last 10 years was in zone 9 with an increase of 15.8%. It is also notable that there was already a high portion of huts in this zone in 2003. Traditionally, the Karamojong and the Itesot live in huts owing to their environment (Green, 2013). The high proportion of Huts in zone 9 can therefore be attributed more to cultural preferences than poverty. This result could also be related to the low levels of income in the zone and the increase in rural to urban migration taking place predominantly in this zone. This is because incoming migrants tend to settle in the cheaper areas affordable to them (Arimah, 2010).

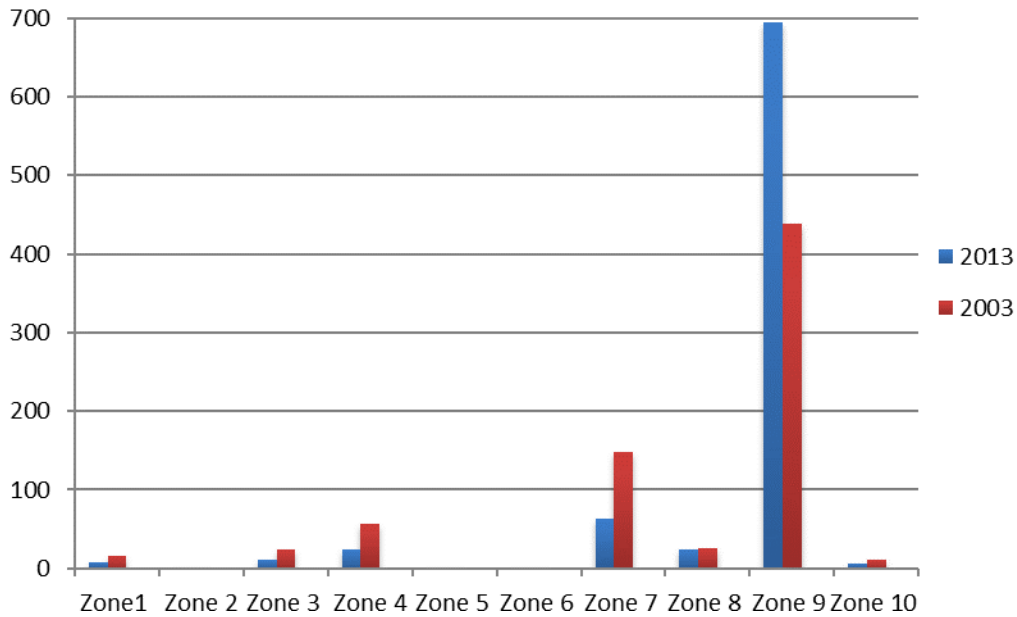


Figure 0-6 The Number of Houses in the Namatala Ward in 2013 and 2003.

The study also found that there was intensification rather than “extensification” of housing in Namatala indicating more urban infill of the informal settlement and less urban sprawl. There was evidence of rapid urban growth within Namatala ward with most zones experiencing an increase in the number of houses between the years 2003 and 2013. (Figure 4-6). This is because the number of houses within the area increased with the core of Namatala experiencing the highest growth rates whereas peripheral areas faced reduced amounts of growth. There has been urban infill within the Namatala ward with sprawl evident, particularly in zones 2, 3, 4, 5 and 8 from 2003 to 2013. This is because there is a percentage increase in the ‘Houses’ that have tin or tiled roofing and a marginal percentage decrease in the number of huts in the zones ringing the boundary of Namatala. Only a section of the entire area, zone 9 and 10, could be labelled as a slum in tandem with the characteristics attributable to a slum, covering the study area (Figure 4-2). This as well as the increase in the number of houses as opposed to huts is an indication that Namatala slum is gentrifying.



Figure 0-7 The land cover changes between the 2003 and 2003 showing the intensification of the land use (Google Earth, 2014)

However, zone 6 had the least amount of growth. In zone 6, the ‘Houses’ appear to be placed in a more structured manner with some roofs covering a large area (Figure 4-7). Therefore, this supports the results that zone 6 is a more affluent area in the Namatala ward. However, some areas such as zone 9 are experiencing faster growth rate in slum like conditions than others.

The comparison of zone 6 and zone 9 (Figure 4-8) is an example of how different zones can be within a defined ward, showing different levels of wealth. In this zone, a greater number of ‘Houses’ appear to be placed in an irregular pattern, with numbers of ‘Huts’ being interspersed between them.



Figure 0-8 Comparison of Zone 6 and Zone 9. 2013 Google Earth Image

4.2.6 Discussion

Slums are results of rapid urban growth and people migrating to the urban areas as they seek employment opportunities. The development of slum and squatter settlements in Africa is a direct manifestation of the high rate of urbanization (UN-HABITAT, 2003). African economies are ill-prepared to absorb enhanced urban population resulting in the proliferation of unplanned, informal settlements (Fox, 2014). The poor rural immigrants who cannot afford to build or rent houses in middle-class settlements resort to constructing cheaper alternative houses with resources from the surrounding environment instead. The impoverished migrants employ traditional methods of construction that are used in the rural areas to build homes, hence transporting rural skills to the

urban areas. Slums develop as more people migrate to this area and adopt the same housing initiatives.

The gentrification of slums and the intensification of housing in slums portrayed by the urban audit could be related to a number of factors. The notable increase in houses as opposed to huts with time can be explained by the fact that traditionally, slums have been portrayed as a temporary phenomenon associated with urbanization. This is in the sense that they act as “the staging area for the migrating poor” as they work to integrate into the economic life of cities in developing economies (UN-HABITAT, 2003). As the rural migrants become integrated into the urban sphere and their incomes rise, they upgrade their housing standards (UN-HABITAT, 2003). People seek to build more permanent housing structures with tin roofs as opposed to grass-thatched in the urban areas as they find sustainable livelihoods. As more people enter the slum, the vacant lots are occupied leading to infill. Study on how urban design and housing values in poor neighbourhoods are related, found that infill housing increase house values and commercial development, revitalizes neighbourhoods and enlarges the tax base (Ryan & Weber, 2007). Infill can also help transform vacant lots around the city into stable lots with new development. Bidandi (2015) attributed this change to rich people’s conversion of surplus money into construction of new business developments or replacing old structures with better structures. The change from huts to houses can also be explained by environmental factors such as shortage of grass for thatching the roofs, differences in the levels of income in the Namatala ward as well as the slum improvement programs within majority of the zones in Namatala ward over the last 10 years.

The inhabitants of Mbale town are faced by several challenges which include the increase of informal settlements, disorganized land records, un-serviced land, land tenure systems that are poor, planning structures that are outdated, external interference from politicians in decision

making, laws that are outdated, high urban population and inadequate human resources (UN-HABITAT, 2012). This situation can be explained by unofficial administrative factors in the form of indifference, which takes the form of urban authorities being reluctant or unconcerned with unacceptable informal dynamics (Turok & Seeliger, 2014)

Absence of deliberate urban policies leads to uncontrolled and unplanned settlements typified by growing slums juxtaposed with urban affluence (Mabogunje, 1990). This absence is caused by the fact that most African governments and the international community do not appear to fully grasp the scale of the urban phenomenon, the economic and social challenges it poses, or the scope of opportunities it offers for sustainability and regeneration.

4.3 The role of social, economic and environmental factors at Play in the Making of Namatala.

This section addressed objective three which explained the social, economic and environmental factors at play in the making of Namatala. It analysed the social-cultural, economic, and environmental patterns in Namatala. It performs a place analysis of Namatala slum which seeks to develop a complete understanding of Namatala as a disadvantaged location and yet hopeful, to identify all the current weaknesses that constrain the location as well as opportunities that could be exploited to establish a sustainable future for the community.

4.3.1 The Social Factors at Play in the Making of Namatala

Age of Household Heads per Cell

The study found that most of the household heads, were relatively young (Figure 4-9). Forty-three per cent of the household heads were less than 31 years of age while those of 31 to 40 years were only 28% (Figure 4-9). The elderly people accounted for only 6% of the respondents.

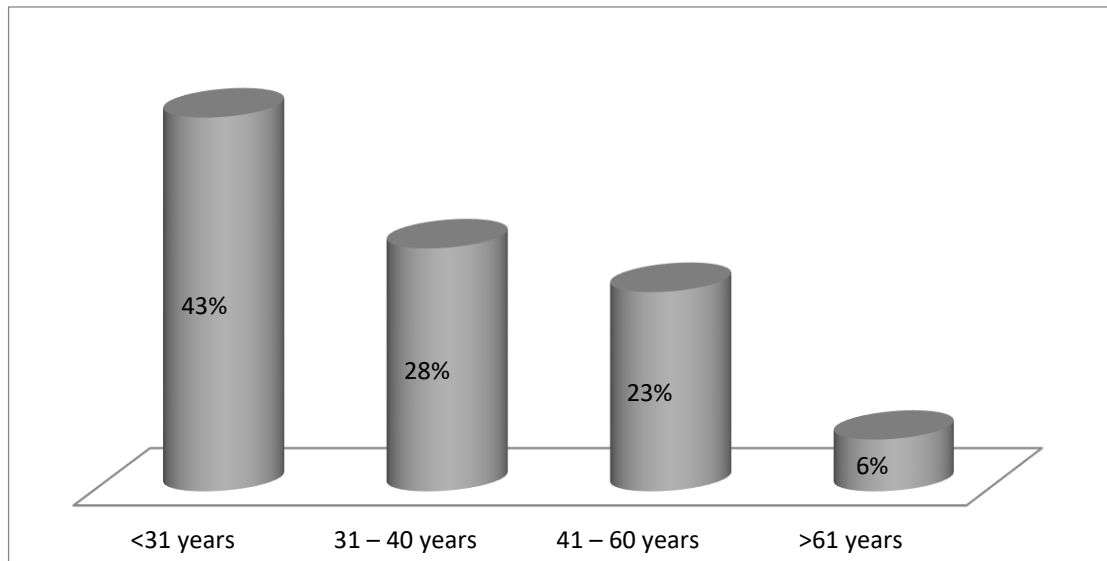


Figure 0-9 Age of Household Heads in Namatala slum

Table 4.5. Shows the age of household heads per cell. With the exception of Mvule, majority of household heads in all cells in Namatala were below 30 years old. These figures concur with the 2014 census statistics which showed that 41.2% of the household heads were below 30 years of age. From the census statistics of 2014, the Ugandan population is youthful where 78.3% are 30 years and below (UBOS, 2016). This explains the high percentage of relatively young household heads, and these tend to migrate from rural areas to urban centres to seek better services and employment. Sometimes they migrate due to ‘peer influence and loss of land in rural areas’ as well as wars and landslides (Green, 2009; IOM, 2013). On the other hand, elderly people are most

likely to struggle to survive in a slum setting given the fact that most slum dwellers engage in informal businesses to earn a living.

Table 0-5 Age of Household Heads per Cell

Age	Bubirabi	Mvule	Nyanza	Sisye	Mean%
<31	42%	26%	52%	50%	43%
31-40	29%	37%	23%	23%	28%
41-60	21%	31%	21%	20%	23%
>61	8%	6%	4%	7%	6%

(Source: Household oral survey questionnaire, Q06 and Q07 N=758)

Gender of household heads in Namatala slum

During the study, more women (65%) participated than men (35%) (Table 4-6).

Table 0-6 Gender of household heads in Namatala slum

Sex	Bubirabi	Mvule	Nyanza	Sisye	Mean %
Male	36%	40%	23%	42%	35
Female	64%	60%	77%	58%	65

(Source: Household oral survey questionnaire, Q06 N=758)

The gender profile in Namatala is skewed towards female which is 65% against a male population of 35%. However, the National Census statistics showed that there were more male household heads 69.5% than female headed households which account for 30.5% of the population (UBOS, 2016). This is a contrast with the natural gender ratio which is about 50:51. This could be attributed to the fact that in an African setting, women are likely to be found at home

taking care of the family needs. Domestic chores such as collecting firewood, childcare, washing clothes and caring for the sick and elderly are mostly performed by women and girls (Mburu & Nyagah, 2012). The transect walk revealed that most men leave their homes early in the mornings to look for work and others to drink alcohol. From the government 2014 census statistics of Namatala, the population is estimated at 24,123 with 6,610 households, females' number 12,924 and males at 11,199.

Marital Status of Household Heads

Most of the household heads reported that they were married (66%) (Table 0-7). In the focus group discussions however, it was reported that most marriages were troubled as there were many fights between the couples due to alcohol.

Table 0-7 Marital status of household heads

Marital status	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Single	34%	32%	30%	35%	34%
Married	66%	68%	70%	65%	66%

(Source: Household oral survey questionnaire, Q18b N=758)

Size and Composition of households in Namatala Slum by Age

The majority of households (70%) had 5-6 members under 18 years while most households (84%) had 1-4 adult members and 1-4 guests. The mean and standard deviation on household members (Table 4-8) show children and adults in the households with a mean average of 4.82

people. The household with the highest mean average was in Mvule (5.47). The mean average number of children per household was at 2.62 with a standard deviation of 2.3, while the mean average for the number of adults in a household stood at 2.16 for all households. The mean number of guests in a household for the four zones was at minimum (0.11).

Table 0-8 Number of Household Members Children, Adults, and guests

		Bubirabi	Mvule	Nyanza	Sisye	Overall
Household members	Mean	4.50	5.47	5.34	4.99	4.82
	Standard Deviation	2.52	3.38	3.30	3.62	2.96
Children under 18 years	Mean	2.41	3.00	3.00	2.72	2.62
	Standard Deviation	2.01	2.42	2.72	2.72	2.30
Adults	Mean	2.08	2.31	2.25	2.26	2.16
	Standard Deviation	1.30	1.69	2.25	1.39	1.40
Guests	Mean	0.09	0.15	0.10	0.16	0.11
	Standard Deviation	0.44	0.54	0.50	0.67	0.50

(Source: Household oral survey questionnaire, Q13, 14, 15&16 N=758)

This shows that despite the houses being small and very poorly ventilated, the number of persons in a household was high. These results were expected because of the high birth and fertility rate in Uganda. The average fertility rate countrywide being seven children per woman (UBOS, 2016). The results are similar to (Mulcahy & Chu, 2008) findings which indicated Kibera's average household size as five individuals. Others established it to be much lower at 3.2 individuals per household (Desgroppes & Taupin, 2011) on the other hand established that 54.5% of the households in Kibera had less than five individuals followed by 43.3% of the households with 6-10 people and 2.3% had over 11 people. It is estimated that the average household size in Kibera is seven people (UN-HABITAT, 2010).

Housing

This study found that sixty-nine (69%) of the respondents lived in rented houses, 29% owned their houses while only (1%) of households had settled on either government houses or those of unknown owners. Nyanza Cell had the highest proportion of people owning both land (48%) and houses (49%) while Mvule had the lowest (Table 0-9).

Table 0-9 Land/House Ownership

	Owner	Bubirabi (%)	Mvule (%)	Nyanza (%)	Sisye (%)	Mean (%)
Land	Landlord	77	82	50	71	70
	Self	23	16	48	28	29
	Government	0	2	2	1	1
House	Landlord	76	81	50	70	69
	Self	23	17	49	29	30
	Government	1	2	1	1	1

Source: Household oral survey questionnaire, Q49&50 N=758

This can be explained by the freehold nature of land tenure which has led to the sale and subdivision of land to people employed in Mbale town. This process has been aided by its proximity to town and has subsequently led to the gentrification of Namatala slum. This trend of land ownership can be attributed to the government initiatives whereby squatters are encouraged to negotiate with the landlords so that they acquire legal rights to own land (Cities Alliance, 2018). Once land is owned, then it is easier for an individual to set up a shelter. The location of Mvule near the swamp, on the other hand, may have discouraged many possible investors. Moreover,

Mvule is mainly inhabited by the Karamojong and the Itesots who live a communal life and as such do not encourage private land ownership.

Further, the distribution of the types of dwelling units varied, with a majority 54% of households living in tin roof and brick wall, followed by 26% in houses with tin roof and mud wall, 20% of households live in grass-thatched houses with mud walls (see Table 4-10). The 2014 census statistics showed the percentage of semi-permanent housing in Namatala at 38.4% and temporal housing at 2.9% (UBOS, 2016). Mvule cell had the highest percentage of grass thatched huts with mud walls at 57%.



Figure 0-10 Houses in Bubirabi cell. Source: Researcher

Table 0-10 Type of Houses used by slum dwellers

Type of house	Bubirabi	Mvule	Nyanza	Sisye	Overall (%)
Tin roof brick wall	51%	22%	73%	82%	54%

Tin roof, mud wall	30%	22%	25%	16%	26%
Grass thatched mud walls	19%	57%	2%	3%	20%
Bamboo and mud walls	0%	0%	1%	0%	0%

(Source: Household oral survey questionnaire, Q53 N=758)



Figure 0-11 Types of Houses in Mvule Cell in Namatala Slum

Most (64%) of the household members were living in limited space sharing one room as evident in Table 4-11. Only 3% lived in houses with five or more rooms. Mvule cell had the highest number of one roomed house at 77%.

Table 0-11 Number of rooms in the house

		Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Number of rooms	One	64%	77%	58%	57%	64%
	Two	23%	16%	24%	27%	23%

	3-5	10%	4%	16%	14%	10%
	more than five	3%	3%	2%	2%	3%

(Source: Household oral survey questionnaire, Q32 N=758)

In the Kibera area of Kenya, informal households reported in 2009 an average dwelling size of 1.17 habitable rooms, as opposed to 1.95 for urban households and 2.97 for rural households. Ideally a dwelling provides “sufficient living space” if each room is shared by no more than three individuals (UN-HABITAT, 2003). Most the houses were not well ventilated 42% lived in structures with no windows and 36% with only one window. According to respondents, the few numbers of windows were meant to improve security, especially in Mvule at 60% with no window at all. An observation that emerged from focus group discussions was that members complained of high incidence of respiratory tract infections especially amongst children.

Table 0-12 Number of windows in the house

		Bubirabi (%)	Mvule (%)	Nyanza (%)	Sisye (%)	Mean (%)
Number of windows in the house	None	43	60	44	13	42
	One	35	23	30	62	36
	Two	12	10	10	18	13
	More than two but less than five	8	5	12	4	7
	More than five	2	1	4	3	2

(Source: Household oral survey questionnaire, Q33 N=758)

Diet/Frequency of Daily Meals

Table 4-13 shows that 46% of the households had two meals in a day while 23% had only one meal a day. Only 30% of the households had more than two meals a day. Bubirabi Cell (27%) and Mvule Cell (30%) experienced the lowest number of meals per day. Families that are financially stable can afford more than two meals and such households were found in Nyanza and Sisye Cells.

Table 0-13 Daily Frequency of Meals

Meals per day	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
One	27%	30%	10%	15%	23%
Two	46%	50%	47%	44%	46%
Three	25%	18%	39%	39%	28%
Four/Five	2%	2%	4%	3%	2%

(Source: Household oral survey questionnaire, Q 46 N=758)

Two meals, lunch and super, are acceptable for an average income earner in the Ugandan context. However, when a household lives on one meal per day, the implication is that such a household is struggling financially, and that the children could be at high risk of malnutrition and most likely to suffer from nutritional related illnesses. In addition, in the focus group discussions, the two meals were defined to include only lunch and dinner.

The Education Level among the Residents of Namatala

The education level among the residents of Namatala was relatively low in all the slum cells (Table 0-14). Majority of respondents in Namatala had attained up to Primary level education (36%) followed by those who had attained secondary education (28%). There were also a

reasonable number of household heads who had not attained any formal education at 25%, while the attainment of higher education was minimal at only 11%. Mvule recorded the highest numbers (36%) of those who had not attained any level of education while Sisye had the lowest number represented by (6%). Generally, Sisye had the highest number of residents (20%) who had attained a higher education against Bubirabi, Nyanza and Mvule who had 11%, 7% and 5% for the higher level of education, respectively.

Table 0-14 Education Status of household heads

Educational level	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
None	30%	36%	14%	6%	25%
Primary school	33%	37%	45%	39%	36%
Secondary school	27%	23%	34%	35%	28%
Higher education	11%	5%	7%	20%	11%

(Source: Household oral survey questionnaire, Q09 N=758)

The 2014 National census statistics showed that 21.3% of the population in Namatala are illiterate while 59.2% do not have a secondary school qualification (UBOS, 2016). Given the fact that people living in slums struggle financially, this may explain why there were few household heads with higher education attainment. This is in sharp contrast with studies in Kibera which showed that Kibera slum had respondents who are generally literate with majority having primary school education (Desgropes & Taupin, 2011). This could be explained by the fact that some slum dwellers are in-migrants and may have come to Kibera when they already had the qualifications as well as the free primary education in Kenya.

Eighty-four percent (84%) of the households indicated that a primary school or more were situated in their cell. Only a low proportion at 4% (Table 4-15), confirmed presence of a secondary school within their cells. The small numbers that were not aware of the presence of primary schools

in their areas could have been new arrivals or households that are disinterested in their children's education. Focus group discussions revealed that schools were near and accessible and had good administration structures as well as adequate furniture. They observed that teachers kept time and taught well. However, they decried the lack of textbooks and overcrowding of children in class. According to the respondents, teachers take time to resume other sessions. They also observed that parents were burdened with extra levies for private tuition, development and exams. Hence, most people preferred private schools to government schools due to better services.

Table 0-15 Educational facilities

	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Presence of primary school	100%	4%	94%	96%	84%
Presence of secondary school	1%	2%	18%	7%	4%

(Source: Oral survey Household questionnaire, Q39 & 40 N=758)

The overall trend of children school attendance in Namatala slum stands at 70% while those who do not attend school account for 30%. Overall, in Namatala slum, 30% of the household heads confirmed that there could be non-schooling children below the age of 18 years that are engaged in child labour (see Figure 4-12).

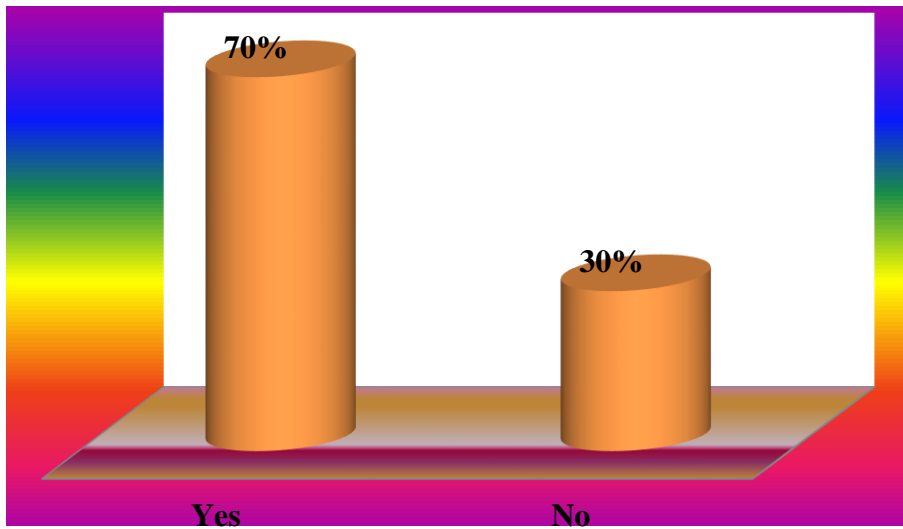


Figure 0-12 Number of children in school

Table 0-16 Number of children in school

Number of children in school	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Mean	1.28	1.77	1.92	1.61	1.48
Standard Deviation	1.51	2.30	2.26	2.11	1.86

(Source: Household oral survey questionnaire, Q19, N=758)

The census statistics show that 17.4% of children aged between 6-12 years in Namatala do not attend school, the percentage increases to 56.6% for ages 13-18 (UBOS, 2016), this shows a significant difference with the results from the questionnaire. This probably means that these children could be engaged in commercial labour to raise funds to support the basic needs of their families. The focus group discussion informed that there are markets that are operational throughout the week and in these markets, children sale small items to supplement the budget at home while others help their parents in handling customers. Some children are also hired to work in restaurants, as hawkers, and loaders of luggage. There are no regulations being enforced to hold

parents accountable to their children's education and to stop them from engaging in commercial labour in Mbale municipal markets.

To enhance the attainment of education and to enable children from low-income families' access free education, the Government of Uganda introduced Universal Primary Education (UPE) and Universal Secondary Education (USE). In addition, one of the presidential pledges that became a government policy "was to construct a primary school in every parish and secondary school in each sub county" (Huylebroeck & Titeca, 2015). Since each of the cells of Namatala are at parish levels this explains the presence of primary schools in those cells (Table 4-15). However, Mvule is lacking a primary school. This could be attributed to the absence of community land on which to construct a government school.

However, universal primary education (UPE) and universal secondary education (USE) system in Uganda has encountered many challenges that have affected the education of the poor. Firstly, the government of Uganda does not buy land for schools, it encourages the program beneficiaries to offer land. Secondly, the government does not provide all the essential necessities for a child's learning. It is the responsibility of parents to provide their children with the minimum requirements for school which include pens, pencils, exercise books, school uniforms, lunch, sanitary wears and even bricks for classroom construction. (Ministry of education and sports, 1999). Contrary to the general perception, these issues demonstrate that UPE is not entirely free. The secondary schools that are available in slums are mostly private ones. Most young people travel to Mbale town to access free secondary education, a distance of not less than 3kms. The misconception by parents that government was meant to provide everything concerning the education of their children caused many pupils from low-income households to attend school without the minimal scholastic requirements. For poorer parents, the cost is beyond reach

(Huylebroeck & Titeca, 2015). Some households in Namatala slum might be incapacitated to cater for the scholastic needs of their children and this might be the reason why some children are not attending school. Further, for the government of Uganda to construct a public secondary school, the local people must provide not less than five acres of land, something that is almost impossible in a slum setting where people are crowded on tiny pieces of land (Huylebroeck & Titeca, 2015).

Like primary and secondary education, higher education in Uganda is also not free. About 90% of the student population in public universities are privately sponsored. Government scholarships are offered to a limited number of bright students and those who benefit come from rich families that take their children to better performing secondary schools. It is the rich households that are taking their children to private schools that are benefiting greatly from Uganda's education economy. The poor can access higher education only when they have support of charity organizations.

Health

Thirty-one percent of the households in Namatala slum indicated existence of Government health facilities in their locality (Table 4-17). These were mostly households in Nyanza and Sisye cells which are in the proximity of Namatala Health Centre IV (see Figure 4-13), a government owned facility. 63% of the residents of Bubirabi live in the proximity of private clinics. The private clinics were also offering a sizeable amount of service as 15% of the households confirmed getting medical treatment from them. However, most of the households seek 'free medical services' from government hospitals (38%) and government clinics (45%) (Table 4-18). In Uganda, sometimes

people prefer to seek private clinics or pharmacies for medical service because of the perceived inefficiency in the government hospitals and health facilities.

Table 0-17 Presence of health facilities

Health Services		Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Government health centre within the cell	Yes	2%	5%	29%	87%	31%
Private clinic	Yes	63%	0%	0%	3%	37%

(Source: Household oral survey questionnaire, Q 41& 44, N=758)



Figure 0-13 Namatala Health Center IV

Table 0-18 Source of medical care

Source of medical care	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Government hospital	38%	37%	61%	18%	38%
Government clinic	47%	55%	27%	45%	45%
Private clinic	16%	5%	11%	27%	15%
Buy medicine at chemist	0%	3%	1%	10%	2%

(Source: Household oral survey questionnaire, Q45, N=758)

The monthly expenses on medical care were minimal (<UGX. 50, 000) at 88% among the residents of Namatala (Table 4-19). This portrays a picture that most of them are accessing free medical services from government health facilities and few others, probably those in formal employment seek medical services from private clinics

Table 0-19 Spending on medical care

Spending on Medicine (Ugshs)	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
≤30,000	90%	86%	87%	85%	88%
31,000 - 50,000	6%	9%	6%	3%	6%
51,000- 100,00	2%	4%	3%	7%	3%
101,000-500,000	1%	2%	3%	4%	2%
500,000 and above	0%	0%	1%	1%	1%

(Source: Household oral survey questionnaire, Q45, N=758)

Seventy-seven per cent (77%) of the households reported adults suffering from malaria and 70% cases of malaria were reported in children (Table 4-20). Statistics show that Uganda has the world's highest malaria incidences and ranks as 6th among African countries with malaria cases and 3rd in malaria related deaths (World Health Organization , 2008). Other than malaria, cases of diarrhoea were reported in children (27%) than adults (22%), with high prevalence in Bubirabi and Mvule Cells, this could be attributed to the lack of adequate toilet facilities and water in these two cells (Table 4-32 and 4-33). Diarrhoea and cholera diseases are brought about as a result of people using contaminated water and failing to maintain proper hygiene. Cholera incidences were minimal as only 1% of households reported its occurrence in both children and adults. More than 75% respondents replied that members of their household faced illness in two months prior to study, the most frequent illnesses being diarrhoea and fever. It depicts that diarrhoea is a problem that relates to water born ailments.

Table 0-20 Episodes of illness in the households

	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Diseases in adults within the past one year					
Diarrhoea	24%	32%	17%	8%	22%
Malaria	79%	82%	88%	53%	77%
Cholera	1%	3%	1%	2%	1%
Other	19%	18%	5%	12%	16%
Diseases in children within the past one year					
Diarrhoea	32%	30%	19%	14%	27%
Malaria	71%	75%	84%	41%	70%
Cholera	0%	1%	2%	2%	1%
Other	16%	9%	8%	13%	14%

(Source: Household oral survey questionnaire, Q42 and 43)

The FGDs revealed both positive and negative aspects of the condition of the health facilities in Namatala. On the positive side, the respondents cited adequate health workers, bed space, good sanitation and structures as well as well-maintained toilets and good hygiene in government hospitals. In the same measure, FGDs reported lack of medicine, poor services, long queues and inadequate personnel. They also reported that health workers did not keep time and that money is charged for certain tests which most cannot afford.

Slum dwellers are more vulnerable to communicable diseases and malnutrition and at the same time exposed to greater risk of accidents at work. Across slum settings, the adverse health effects of overcrowding are aggravated by poor access to water and sanitation facilities. Majority of slum dwellers have no private latrine, and many use inferior-type latrines (such as an open space or traditional pit that is not connected to a sewage network), no source of private water, and no garbage collection (meaning that garbage is either left in a roadside ditch or burnt next to the household dwelling). A range of studies have documented the poor water access and overall hygiene of slum neighborhoods (Scouten & Mathenge, 2010; Innocent & Christoph, 2013).

Leisure Activities

The study found that fifty-three per cent (53%) of the households spent their leisure time for religious activities while 22% engaged in alcohol drinking as the main leisure activity. 7% visited video halls while 8%, especially the male youth often engaged in community football (Table 0-21). The main leisure activity in Bubirabi (62%), Nyanza (72%), and Sisye (51%) was religious activities. Alcohol consumption was highest at (53%) for leisure in Mvule cell which is populated

by Itesots and Karamojong ethnic groups, the brew is locally known as ‘Ajon’ among the Itesots and ‘Ekwete’ or ‘Ebutia’ among the Karamojong. The Itesots are introduced to the practice of Ajon at birth. When a child is born, the excitement and happiness of the newly born is celebrated by a drop of Ajon in the child’s mouth with the rest of the drink being enjoyed by the clan members. The clan child-naming ceremony is celebrated by drinking of Ajon to welcome the newly born into the world. During their free time, the Itesots sit together and enjoy Ajon more especially late evenings after work as a way of resting from the long day’s work.

Table 0-21 Leisure Activities

Leisure activity	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Religious activity	62%	25%	72%	51%	53%
Traditional beer drinking	18%	53%	7%	8%	22%
Community football	7%	7%	9%	12%	8%
Video	1%	6%	6%	15%	7%
Other	12%	9%	6%	14%	10%

(Source: Household oral survey questionnaire, Q 38 N=758)



Figure 0-14 A resident of Mvule relaxing by taking the local brew using a homemade straw



Figure 0-15 A local alcohol drinking joint in Mvule cell

The prevalence of religious activities in the cells can be explained by the fact that most third sector organizations providing services in Namatala are religious based. Religious organizations have always played a central role in supporting those experiencing poverty, through service delivery as well as the provision of spiritual resources that provide mechanisms for resilience at both the individual and community levels (Haynes, 2007). Studies done by the World Bank in the Acholi region of Northern Uganda on well-being, discovered that spiritual life and religious observance were factors in well-being and that religion aids many among the poor to cope with psychological well-being (Horn , 2013).

The focus group discussions also listed activities like discussing/conversing with other men, listening to radio, playing indoor games (cards/pool), robbery, sports betting, watching TV and watching games like football in the fields, as leisure activities for men, while leisure activities for women were listed as bars to drink and dance, sleeping, taking walks, and visiting friends and pick pocketing, playing games and watching films as leisure activities for children in all the cells under study.

Nyanza is the only cell with a high response for existence of an open space for recreation, 65% this is also the cell with the highest rate of gentrification now being occupied by more affluent people.

Table 0-22 Open space for recreation

Cell	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Open space for recreation	13%	5%	65%	7%	18%

(Source: Household oral survey questionnaire, Q 28N=758)

Crime Rates and Existence of Supportive Associations/Groups

Other than health issues, the slums are also known to be associated with crime and in this survey, households were interviewed to find out if they had ever been affected by any crime. Crime rates were reasonably reported at 22% (Table4-23). They seem to be higher in Nyanza probably because of the increase in gentrification bringing in an affluent community, the low crime rate in Bubirabi on the other hand could be explained by the responses from the focus group discussion has had an increase in community policing, an initiative of the community in collaboration with the police. This has gone a long way in involving the community in maintaining law and order in their locality. The major forms of crimes that were listed during the focus group discussion include theft of household items, assault (especially when people are drunk) and other forms of violence including domestic violence.

Table 0-23 Crime Rates

Cell		Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Have you been affected by crime	Yes	13%	29%	45%	27%	22%
	No	87%	71%	55%	73%	78%

(Source: Household oral survey questionnaire, Q47 N=758)

Social support was found to be very low as only 12% of the households reported belonging to and being supported by a community group. The involvement of households in community groups acts as a safety net and is often perceived as a fundamental step in resisting the shocks from poverty. The focus group discussions on the other hand reported support from religious organizations and NGOs that work with the communities to form self-help savings groups and the communities come together to form community-based organizations to support each other during calamities such as death of a member or relative.

Table 0-24 Community Supportive Groups

Are there any community groups, cooperatives or associations that support you?	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Yes	11%	19%	20%	4%	12%
No	89%	81%	80%	96%	88%

(Source: Household oral survey questionnaire, Q48 N=758)

4.3.2 Economic Factors at Play in the Making of Namatala

The subsequent part examines the economic pattern and situation of Namatala slum. Economic status is highly correlated to social factors such as water and sanitation service access in urban environments and is often tied to other demographic characteristics such as ethnicity and race.

Employment

The most common economic activity in Namatala is local beer brewing at 20.5%, hawking at 13.5% and vending of second-hand clothes at 13%, retailing at 11%, food services at 11%, charcoal vending at 11% (Table 4.25).

Table 0-25 Economic Activities Households are engaged in

Economic activity	Bubirabi	Muvule	Nyanza	Sisye	Mean (%)
Local beer brewing	13%	35%	18%	16%	20.5%
Hawking	14%	12%	15%	13%	13.5%
Second-hand clothes vendor	15%	10%	14%	12%	13%
Retailer	14%	4%	13%	12%	11%
Food services	10%	12%	11%	13%	11%
Charcoal vending	11%	10%	9%	11%	10%
Video halls	11%	6%	10%	8%	9%
Hairdressers	7%	5%	6%	9%	7%
Formal employment	5%	6%	4%	6%	5%

(Source: Household oral survey questionnaire, Q 18a N=758)

The results of the interviews were confirmed by FGDs which reported casual work such as sorting food in the market, washing clothes in others' homes/gardens and selling charcoal/firewood

as the main economic activities in Namatala. Other significant economic activities in Namatala cited by FGDs were boda boda (motorcycle taxi) riding, formal employment in the civil service, operating small road kiosks, brewing alcohol and prostitution. Brick making, working in the coffee factory, construction, hawking goods, pushing wheelbarrows/hand carts in town, selling alcohol, washing people's clothes and collection of broken sorted rice by women were minor economic activities (Maliyamkono & Bagachwa, 1990).



Figure 0-16 Charcoal Vending in Namatala



Figure 0-17 Hair Salon in Namatala

Household Income

Table 4-26 shows that majority (81%) of the households in Namatala had a source of income. Such household heads could be the ones that are involved in the sale of local beer and those that are in formal employment (see Table 4-26).

Table 0-26 Income for head of the household

Head earned an income	Bubirabi	Mvule	Nyanza	Sisye	Overall (%)
Yes	77%	93%	87%	79%	81%
No	23%	7%	13%	21%	19%

(Source: Household oral survey questionnaire, Q 18a N=758)

The respondents surveyed showed that majority of them (81%) were in employment and therefore had an income. In general, it appears that most respondents are engaged in some work. The study showed that most of the 758 respondents earned some income. That indicates that

majority of the residents seek for work outside the slum as there are fewer salaried employment opportunities in the slums. The rest were engaged in self-employment as a means of earning a livelihood. Within the cells Mvule and Nyanza had the highest number of household heads respondents earning an income which was 93% and 87% respectively.

The majority (44%) of household heads earned monthly income of less than 50,000 Uganda shillings (Table 0-27). This is quite small considering that in many household's people indicated that they are married and there are many people staying in the house, two cells, Nyanza (41%) and Sisye (30%) had the highest number of households with incomes of less than 30,000 Ugsh per month. This translates into approximately \$8 per month. However, other households are earning UGX 200,000 – 500,000 (20%) and UGX 500,000 – 1,000,000 (5%).

Table 0-27 Monthly income of households

Income (UGX)	Bubirabi	Mvule	Nyanza	Sisye	Overall (%)
Less than 30K	16%	23%	41%	30%	22%
31,000-50,000	24%	31%	16%	11%	22%
51,000- 100,000	23%	22%	16%	18%	21%
101,000 - 200,000	18%	14%	16%	22%	18%
201,000 - 400,000	12%	8%	7%	15%	11%
More than 500,000	7%	3%	5%	4%	6%

(Source: Household oral survey questionnaire, Q 51 N=758)

Data on household income seemed lower than the expenditure, but on triangulation with the community focus group discussions, it was observed that there could have been issues of honesty of answers because some of the household heads could have assumed that the researcher was going to give them money thus the lower quote for the income. It was also noted from the FGDs that women also got food from winnowing rice in town and would collect whatever fell and the children

also begged for food in the streets and collected from rubbish heaps in the main market in the town centre, which accounted for some of the informal income (Maliyamkono & Bagachwa, 1990).

Expenditure

Figure 4-18 presents a graphical analysis on the pattern of income and expenditure on two critical aspects of life - accommodation and food. Households (86%) spend Uganda shillings 51,000 – 100,000 on food. These amounts are minimal given the big household sizes (Table 4-11). However, 81% confirmed that expenditure on rent was majorly below 31,000. There seems to be disconnect between the income earned and the basic expenditure on food and rent for those in the lowest income bracket. This could be explained by the fact that most families send their children to beg in the streets while the women spend a lot of time in the market collecting foodstuffs for a meal from the waste. This income and food sources are not included in the wage calculation. The expenses on items like water fetched from ponds and River Namatala, green vegetables picked in the bushes, bush fruits, food picked from the rubbish pits and dustbins were not put into consideration.

The responses on activities that greatly drive household expenditure were listed as follows in the focus group discussion: feeding, renting/accommodation, alcohol, school, medicine/ sickness/ treatment and buying water in that order. This triangulates with the questionnaire data on expenditure.

Table 0-28 Monthly Expenditures

Item	Amount (UGX)	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Rent	<50,000	95	94	96	94	95
	51,000- 100,000	5	6	4	6	5
Food	51,000- 100,000	85	88	87	82	86
	100,000-200,000	15	12	13	18	14
Medicine/hospital	<50,000	96	97	96	95	96
	51,000- 100,000	4	3	4	5	4
School fees	<50,000	89	82	85	84	85
	51,000- 100,000	11	18	15	16	15
Transport	<50,000	91	86	88	83	87
	51,000- 100,000	9	14	12	17	13
Fuel	51,000- 100,000	94	90	93	91	92
	100,000-200,000	6	10	7	9	8
Clothes	51,000- 100,000	89	84	86	81	85
	100,000-200,000	11	16	14	19	15

(Source: Household oral survey questionnaire, Q 52 N=758)

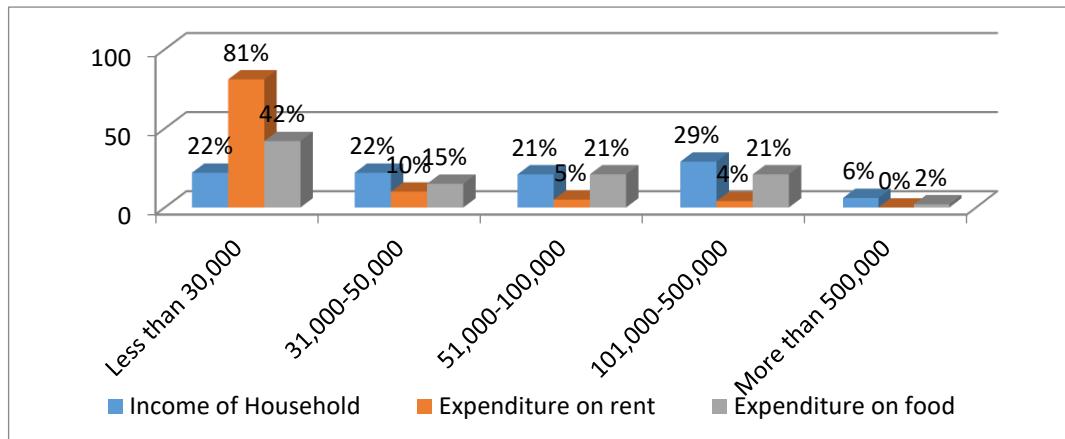


Figure 0-18 Income and expenditure patterns on food and accommodation

Table 0-29 How people spend the money they earn

How people spend the money they earn	Frequency
Clothes	1
Alcohol	4
Medication	3
School fees	4
Food	4
Gambling (cards, betting)	2
Rent	4
Watching Videos	4

(Source: Community focus group from the four cells N=4)

Household Asset Ownership

The study assessed the ownership of essential and necessary household items (Table 4-30). 64% of the households owned mobile phones, followed by radio (42%), Television set (25%). Other assets were sofa set (17%), refrigerator (6%) and computer (5%). Although Mvule cell had the lowest percentage of mobile phone ownership (48%), it was the most owned asset in the cell followed by radio (27%). These two-ease communication, making it possible even for the poor households to be reached with information. This can aid greatly in community mobilization and participation. Bubirabi had the same trend as Mvule with 57% responses for mobile phone ownership and 42% responses for radio. This area, from the delineation of Namatala (Fig 4-2) depicts the highest number of huts “informal settlements”. Since electricity is expensive the same cells had a very low ownership of television sets 17% for Bubirabi, 6% for Mvule, 43% for Nyanza and 33% for Sisye. Statistics show that “almost 24.8m or 70.9 per cent of Ugandans own mobile phones” (UBOS, 2016) and “over 300 radio stations are registered in Uganda”. People need to

transact business and to also get updates about the events happening around the nation and the entire world.

Table 0-30 Household Equipment

Household Assets	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Mobile phone	57%	48%	73%	77%	64%
Radio	42%	27%	48%	52%	42%
Television	17%	6%	43%	33%	25%
Sofa set	14%	8%	23%	23%	17%
DVD	5%	2%	7%	8%	6%
Refrigerator	5%	1%	13%	5%	6%
Computer	4%	0%	8%	6%	5%

(Source: Household oral survey questionnaire, Q 54 N=758)

The focus group discussions corroborated the findings but also listed other assets such as animals like pigs, chicken and goats. Others were bicycles, mattresses, motorcycles, phones and a few with plots.

Besides being trapped in a low-human-capital equilibrium, Namatala exhibits dysfunctional institutions that lead to poor access to proper housing, depressed public and private investment. There's lack of clean water, poor sanitation, uncoordinated garbage collection, lack of a social safety net, and an ineffective legal infrastructure of property rights that does not permit for an effective market in land and housing, popularly referred as super wicked problems (Metens, 2015). Literature has established clear links between housing conditions and social outcomes including health, social security and education (Doling & Paul, 2013; Thomson & Pettigrew, 2005). The communities living in the slum are employed in informal (alternative) economies (Wakely & Elizabeth, 2011; Cities Alliance, 2018). The type of work includes activities that may be deemed illegal, such as prostitution and drug dealing. Other activities include various aspects of domestic

work, mechanical work, textile and clothes making, toilet attending, or gathering and recycling materials or the production of crafts (UN-HABITAT, 2003; Maliyamkono & Bagachwa, 1990).

The problem of low income affects the level of capital formation which deprives the people of sufficient resources to utilize in improving their homes and keeping their environment healthy for comfortable living. In examining the environmental consequences of development and the discipline of economics, one may evaluate the environment as an economic factor and observe the main theoretical interactions and correlations between economic development and the environment.

4.3.3 Environmental patterns and situation of Namatala Slum

Literature shows that the poorest urban populations in the poorest countries tend to have the worst environmental health conditions in and around their homes (Mcgranahan & Satterthwaite, 2014). Namatala is no exemption to this situation. Environmental quality within Namatala is significantly linked to health and can be assessed by considering water sources, drainage, sanitation, and waste management.

The source, availability and quality of the drinking water

The source, availability and quality of the drinking water are also important hygiene factors in any settlement. Access to piped water provided at a fee in public access points recorded the highest usage of 89% (Table 4-31).

Table 0-31 Sources of Water for the Residents

	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Public Standpipe	91%	75%	96%	91%	89%
Borehole	1%	23%	2%	6%	5%
Open Unprotected Well	2%	3%	0%	0%	2%
Piped Water In Residence	4%	0%	2%	3%	3%
Protected Well	2%	0%	0%	0%	1%

(Source: Household oral survey questionnaire, Q 20 N=758)

Public access points are tap stands situated at central points within the cell (as agreed upon by leaders) and are often commercially run by private service providers or private investors. These service providers charge Ugsh 200 per jerrycan, which most of the residents cannot afford. Only 3% of the respondents got their water from the National Water and Sewerage Company limited. Others indicated that they got their water from other sources, for example, boreholes and unprotected wells. Mvule had the highest usage of water from boreholes. These boreholes are sunk in the slum areas but its water's suitability for drinking remains very difficult to determine (see Figure 4-19).

The boreholes are owned by individuals and the water is also sold to the residents. The FGDs indicated that alternatively, during wet seasons which are associated with a lot of rainfall when most of the water sources are full, families survive on water from the nearby river Namatala which is contaminated with pollutants from surface run off that are dangerous to human health. Pollution disrupts not only the ecological balance but also harms the health of the entire community.



Figure 0-19 A public standpipe serving the Mvule cell

(Source: Researcher)



Figure 0-20 A borehole in the Mvule cell of Namatala

(Source: Researcher)

A study by the UN-Habitat (UN-HABITAT, 2003) in Nairobi indicates that only 4% of households in slum areas in Nairobi have access to piped water with a vast majority relying on water kiosks. This has mainly been because of failure on the side of the authorities but also the spatial arrangement of the developments in slums does not help the situation. Due to the haphazard

building of structures, service delivery becomes very complicated since almost every open space is occupied. The case is also true for Namatala. This finding is not surprising considering that majority of slum dwellers are living in rental houses. Therefore, considering the legal requirements for water connection by the National Water and Sewerage Corporations, it becomes difficult for an individual to have a connected water pipe to a rented facility besides the high cost involved. Lack of regulations that put pressure on property owners to connect piped water to their houses complicates the control of tenants' access to clean water.

A UN study reported that “Between 40 to 60 per cent of people in unplanned settlements in Eastern Africa lack adequate water and sanitation (UN-HABITAT, 2010). Their access to water is only through street vendors. “Multiple interventions consisting of water supply, sanitation provision and hygiene education in developing countries act to reduce diarrhoeal illness levels. It is possible that their effectiveness could be improved by ensuring water safety in the household.”

A study done by the African Population and Health Research Centre in Nairobi showed that Nairobi's slum dwellers pay more than residents of wealthy housing estates for water and, as a result, use less than is adequate to meet health needs (APHRC, 2002). A family needs 100 litres per day for drinking and cleaning which costs 20,000 Uganda shillings (aprox 6\$). This could translate to more than half of the slum dwellers' income. Therefore, service provision which is a basic requirement for every urban settlement is really wanting in Namatala.

It was observed during transect walks that most households in Namatala slum consume un-boiled water. Un-boiled or untreated water contains parasitic protozoa and many microorganisms that cause various sicknesses with main symptoms that include diarrhoea, weakness, weight loss, and abdominal pain. The drainage situation was also indicative of the congestion and lack of government mechanism to provide for proper drainage (see Figure 4-21). Studies indicate that

“water borne infections are responsible for more than 80% of the diseases in all over the world”. In Uganda, many people are dying of waterborne illnesses and there are repeated incidences of cholera outbreaks (UBOS, 2016).



Figure 0-21 Namatala on a rainy day

Source: Researcher

Type of Toilets Used by the Households

Eighty-five per cent (85%) of households in Namatala are using covered simple dry pit latrines (Table4-32). However, from the transect walks, Bubirabi and Mvule Cells neighbourhoods had faecal matter near the houses. Since it is a sensitive matter to ask someone how he/she manages personal toilet matters, respondents did not give a true picture of normal practice. One of the reasons for non- use of the few available toilets in those cells could be the culture and traditions of the inhabitants. These cells are inhabited by the Karamojong tribe and to them, it is a taboo to use latrines. According to them, latrine sharing between men and women results to a serious omen of infertility among women and it can lead to blindness among men. Consequently, they opt to

ease themselves in the open. The pit-latrines are in a poor state and yet they cater for more than 30 people since many landlords construct more than five single rooms that house an average of five to six people in each (Table 4-11). In a study done in Kampala, the analysis of 1,500 randomly selected households in the urban slums of Kampala showed that only 20% of households have access to private sanitation facilities. The remaining 68.3% share their toilet (Innocent & Christoph, 2013). There is a clear and strong correlation between the number of users and the condition and cleanliness of a toilet stance.

Table 0-32 Type of toilets used

Type of toilet used	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Covered Simple Dry Pit	83%	90%	88%	87%	85%
Flush Toilet	6%	5%	5%	6%	6%
Open Unprotected Latrine	5%	4%	7%	6%	5%
VIP Latrine	4%	0%	0%	1%	3%
Outdoors	2%	1%	0%	0%	2%

(Source: Household oral survey questionnaire, Q21 N=758)

A considerable number at 85% were sharing toilets with their neighbours (Table 0-33). The 2014 census showed only 1.4% of the population in Namatala had a toilet facility (UBOS, 2016). Available toilets had cracked walls, they had been overused and most of them were full or almost full. Improper use of dry pit latrines presents a public health problem as it promotes the spread of communicable disease such as diarrhoea, cholera and other waterborne diseases such as typhoid. Figure 4.22 shows the state of the latrines used by the slum dwellers in Namatala. In the background is the toilet facility donated by Partners Overseas Network Trust (PONT) through an initiative of the University of South Wales and run by a local community-based organization Namatala Community Development Organization (NCODO) with intention to use mainly rain

harvested water. What remains a challenge, however, is how to ensure the hygienic use of the toilets as slum dwellers and leaders complained of the difficulty to enforce regulations on proper use of the public toilets.

Table 0-33 Sharing of toilets

Do they share latrine with the neighbours?	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
YES	83%	88%	81%	87%	85%
NO	17%	12%	19%	13%	15%

(Source: Household oral survey questionnaire, Q22 N=758)



Figure 0-22 A typical Latrine in Namatala. In the background is the toilet donated by PONT at Mvule Cell.

Solid Waste Management

Garbage management at household level was poor as represented by half (50%) of respondents who reported keeping garbage in gunny bags (Figure 4-23) while 11% reported throwing the garbage on the streets. Appropriate temporary garbage disposal was reported by 27%

who stored household garbage in covered containers and 12% who stored it in other ways. Poor household garbage management presents the risk of air pollution in terms of smell, rodents and the infections arising from the decay of the waste. Some families, especially in Bubirabi burn the garbage (see Figure 4-24).

Table 0-34 Keeping of household Garbage

How they keep Household garbage	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Container	31%	17%	38%	13%	27%
Plastic/Gunny Bags	39%	76%	51%	69%	50%
Throw in the street	14%	4%	6%	12%	11%
Other	17%	4%	5%	7%	12%

(Source: Household oral survey questionnaire, Q23 N=758)



Figure 0-23 Keeping of household Garbage in gunny bags in Mvule cell

Garbage disposal and burning in Bubirabi cell



Figure 0-24 Garbage disposal and burning in Bubirabi cell

Table 0-35 Disposal of household Garbage

How is garbage disposed	Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Dumping pit	28%	76%	77%	56%	46%
Burning	52%	17%	11%	14%	36%
Throwing in the street	17%	5%	3%	16%	13%
Garbage collector	2%	2%	8%	10%	4%
Other	1%	0%	1%	5%	1%

(Source: Household oral survey questionnaire, Q26 N=758)

Most of the respondents in the focus group discussion mentioned “Kaveras” plastic paper bags, food peelings and faecal matter as the most predominant solid waste (Table 4-36). The focus group discussion also gave the household disposal of garbage at the roadside, municipal collection containers, pay for disposal, rubbish pits in the compound, drainages and the river. In Nyanza zone, participants raised deep concerns that the garbage collection containers often got full quite fast while the Division authorities took between two to three months to empty the containers or they were sometimes not emptied at all. This, they complained, results into serious smell, rat infestations and other inconveniences arising from the overflowed containers. Even the replacement of containers was a challenge: “After collecting a container, the Council may take a month to return an empty container,” one participant interjected.

Table 0-36 Types of solid waste

Types of solid waste	Frequency
Kaveras “plastic paper bags”	5
Food peelings	4
Fecal matter	3
Leftover food=Rotten/left over food	3
Ash	2

Plastic bottles/Plastic materials	2
Used up clothes	2
Alcohol residue	1
Animal droppings	1
Broken bricks	1
Old jerricans	1
Used up diapers	1
Used up tires	1

(Source: community group focus group discussions N=4)

The issue of garbage sorting also emerged as critical both at household level and at garbage disposal points. For instance, participants complained: “Whereas government teaches people to sort garbage into biodegradable and non-biodegradables, they provide only one solid waste collection container which does not allow the recommended practice.” Households preferred to dispose their garbage away from their houses to avoid piling of garbage containers that would rot and eventually cause a garbage problem to their neighbours. Some stated they would burn whatever was burnable, regardless of its health implication.



Figure 0-25 Garbage heap at Sisye cell Namatala

The focus group discussion communicated that the containers are managed by the municipal officials, but they take long to collect the rubbish, thus causing the rubbish to block the access roads and drainages. The officials also ask for a fee of 300 Ugsh from households that are cash strapped. Privately owned solid waste collection is available but most of the households are unwilling or unable to pay. To ensure effective solid waste management in Namatala, the FGD participants communicated that there is need for adequate distribution of the containers in the cell, community sensitization, waiving charges for garbage collection, provision of plastic small containers to keep rubbish temporarily while waiting for the collection vehicle and regular collection of garbage.

Table 0-37 Solid waste collection and stagnant water around households

		Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Solid garbage piles near them	Yes	22%	30%	71%	43%	33%
Frequency of solid waste collection	Once weekly or more	26%	49%	59%	44%	36%
	Every two weeks	7%	12%	5%	6%	7%
	Every month	1%	5%	10%	5%	3%
	Never	66%	34%	26%	45%	53%
Presence of stagnant or sewage water	Yes	28%	36%	66%	42%	43%
	No	72%	64%	34%	58%	57%

(Source: Household oral survey questionnaire, Q25, 26 & 27 N=758)

Some households in Namatala slum are not only experiencing the challenge of garbage management, but they are also confronted with stagnant water around their homesteads. The situation worsens during the rainy season. Namatala slum is adjacent to a wetland and the cells that are affected most are Nyanza (66%), Sisye (42%), and Mvule (36%).



Figure 0-26 Solid Waste Collection and Stagnant Water around Households in Mvule cell

Inadequacy of garbage collection piles coupled with stagnant waters around homesteads have led to accumulation of mosquito larvae and sanitary related infections to households. The environmental officer said the following in relation to waste collection and community participation:

... people just dump everything into those bins so and when it reaches the official dumpsite, it becomes a challenge to the people who sort the garbage and sometimes some have ended up getting injured, issues of we have always tried to tell people that they ensure they separate waste. Some have heeded to the advice some have not heeded to the advice. But we are still doing that it is a continuous process, so that they know the dangers of mixing waste. (Mbale Municipal Environmental Officer Source: Researcher Interviews 16th March 2018).



Figure 0-27 Medical waste disposal in Sisye cell Namatala: Source Researchers data

Fuel and lighting

Underdeveloped locations are known for poor energy sources that have a significant detrimental environmental impact. The household survey engaged respondents to declare their main energy sources for cooking and lighting (Table 4-38).

Table 0-38 Household cooking, Fuel used, and lighting Source

		Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
Where do you cook from most of the times	Inside the house	50%	55%	25%	27%	44%
	Outside the house	50%	45%	75%	73%	56%
What do you use for cooking?	Charcoal	83%	75%	84%	87%	82%
	Brickets	0%	7%	5%	7%	3%
	Saw dust	0%	1%	3%	0%	1%
	Firewood	17%	17%	8%	6%	14%
	Gas	0%	0%	0%	0%	0%
What do you use for lighting?	National Electricity grid	24%	15%	40%	39%	27%
	Solar power	0%	2%	1%	2%	1%
	Kerosene lamps	21%	7%	29%	35%	22%
	Homemade kerosene tins	50%	76%	26%	24%	47%
	Other	3%	0%	3%	0%	2%

(Source: Household oral survey questionnaire, Q29, 30 & 31)

The majority of the households (82%) were using charcoal for cooking, followed by firewood (14%). More than half (56%) of the households reported cooking from outside the house, the highest being in Nyanza 75% and Sisye 73%, charcoal or firewood cook stoves were built at the side of most houses (Figure 4-28).

The focus group discussion with the leaders revealed that this was agreed upon by the residents to reduce on the incidences of fire outbreaks. 44% reported cooking inside the house. The practice of cooking from inside the house is environmentally unsustainable and exposes the household members to respiratory disease and pneumonia in children, which spirals as a social problem. Other than the direct health implications of using charcoal and firewood for cooking, there are also wider environmental sustainability issues arising from cutting down trees such as

deforestation, deterioration of soil and water quality, and potentially desertification as the firewood is sourced from northern Uganda



Figure 0-28 Cooking stove built against the wall in Bubirabi cell in Namatala

Only 27% of the respondents had access to electricity, most households 47% used homemade kerosene lamps for lighting, this are hand -made kerosene lamps made of used tins with a blanket or piece of cloth as the wick commonly referred to as “tadooba”. Only 1% reported using solar power. The use of homemade lamps, for instance, is a risky option as it is often prone to house fires, most especially considering that many houses in the slum are grass thatched. These unclean and unsafe energy options (kerosene lamps) pollute the environment and can cause respiratory diseases and are less effective and inefficient.

Tree planting activities

Already, tree-planting activities are very low (15%) among the households, meaning the depletion rate is not being matched with the replacement rate. Most of the charcoal that is being used in Mbale district and Namatala as well is reportedly transported from Karamoja sub-region and other districts of Northern Uganda. Karamoja is already semi-arid, additional tree cutting would mean directly speeding up the desertification rate in the poverty-stricken environment.

Table 0-39 Tree planting activities within the cell

Tree planting activities within the area		Bubirabi	Mvule	Nyanza	Sisye	Mean (%)
	Yes	19%	8%	15%	4%	15%
No	81%	91%	85%	94%	85%	

(Source: Household oral survey questionnaire, Q 34, N=758)

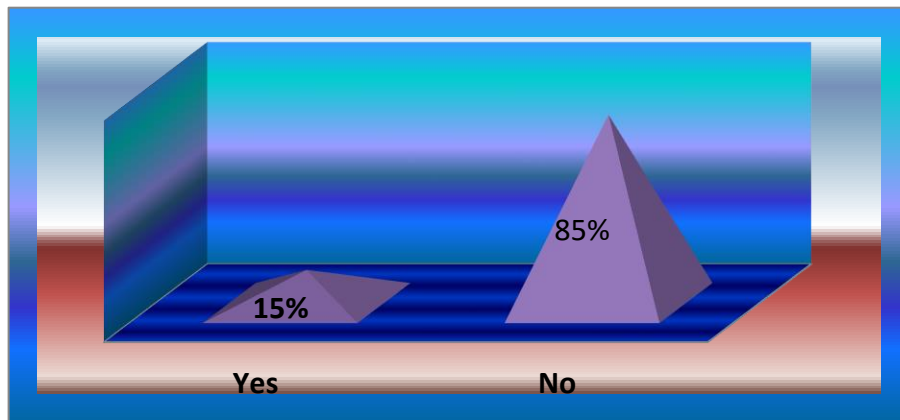


Figure 0-29 Tree planting in Namatala

In conclusion the environmental quality, especially within the slum areas, is degraded with also a lack of provision of basic water supply and sanitary facilities (Arimah, 2010). Namatala is wrought with poor waste management which leads to household waste and human generated

wastes being disposed directly or indirectly onto the streets, surrounding open spaces or water bodies thus causing great pollution of water that lead to diseases. The community toilets are generally unsatisfactory and few in number, most frequently, people defecate in the open. Accumulated waste creates piles of garbage that are the homes and work sites of scavengers and are also breeding sites for rodents and insects, such as mosquitoes, which carry dengue and malaria (Kimani-Murage & Ngindu, 2007).

While proper housing is a very important factor for social and psychological development of children, the practical situation in Namatala is of houses made of low-quality materials. Most of these houses have poor lighting, low ventilation, are crowded with a single room holding the whole family and living and cooking either close to or at the same place (UN-HABITAT, 2003).

Health and sanitation issues are rendered more problematic by the lack of provision of a social safety net in slums. Slum living involves a wide range of risks: in the Kibera data, 10 percent of households have experienced being evicted from their dwelling, and 4 percent report at least one death in the household in the past six months (Kimani-Murage & Ngindu, 2007). Dwellers of slums do not have adequate system of latrine cleanliness and sanitation is very poor in slum areas. This clarifies that these people have unhygienic latrines.

An adequate supply of drinking water is a basic human need. Unfortunately, most of the households in slums do not have access to safe water. In some areas public water supply is available but the quality of water is not s good. Sanitation system is very poor in slums. Their streets are narrow and unpaved; slum dwellers have to face water stagnation in rainy season. This makes the environment of that area very unhygienic (Kimani-Murage & Ngindu, 2007). Such environment causes a number of diseases in slums. Absent or deficient water and sewage systems

translate into a broad range of health and sanitation issues, whether through direct exposure to bacterial agents, contaminated drinking water, or other channels.

4.3.4 Conclusions

Namatala, just like other slums experience super wicked problems which include; social inequalities, health, educational access and poverty and those whose time is running out, there is no central authority and the people trying to solve the problem are also causing it. The intersection of the economic, environment and social systems create the supper wicked problems, there are no completely right solutions to this type of problem (Rittel & Webber, 1973). For there to be sustainable development, there is need for a hybrid approach to partnerships that engages the community while mobilizing the resources of governments and large agencies.

The current urban process in Uganda is associated with poverty, environmental degradation and population demands that outstrip service capacity (Bidandi & Williams, 2017). Uganda has been unable to effectively implement policies for coordinated, efficient and environmentally sound social economic development because of limited financial and human resources and corruption (Leipziger, 2001; Brown, 2013). This inability of the municipalities to implement, monitor, and enforce their development plans has resulted in encroachments on public spaces by private developers, environmental degradation, poor basic infrastructure and social services, inefficient use of land resources and inequality in resource allocation leading to neglect of women, youth and other vulnerable groups including slum dwellers. The acting Economic planner had this to say:

Economic activities are changing slightly but not measurable enough to cause a drastic impact, but we have actually seen a few more changes especially in the infrastructural sector where the World Bank came in through the Ministry of lands housing and urban development and improved on our road network, now, we have more roads that have been brought on board.

So, we hope that when these infrastructures are improved, we shall actually have an economic growth (MMC Economic planner 13th March 2018).

Rapid urbanization has put huge demands on infrastructure, services, and job creation. The

Deputy Town Clerk observed the following:

In 1993 the structural adjustment program of the World Bank led to the government disposing off to individuals almost all the national assets. Economic and social programs were also privatized. As a result, many of the housing estates within the municipal council that the government intended to provide affordable housing to the people are privately owned and outside the governments jurisdiction. The governments' only alternative is to provide an enabling environment for the private sector to develop their own houses and let the market dictate the prices (Deputy town clerk MMC 13th March 2018).

From the ongoing discussions, there is need for the interconnectedness of the economic, social, cultural, and environmental policies to create sustainable communities. Cities such as many of those in South Africa develop as a result of social dynamics officially sanctioned in the form of observed culture, racism and social classes created by the official system of education, income distribution, property ownership and access to jobs (Nattrass, 1983).

The other actors that can be put in place towards shaping the characteristics of Namatala are the ethnic groups that form the population of the place. In African societies, ethnic affiliations and different cultural history and characteristic of a people determine how the people will group themselves and also shape how this people will be approached on different matters regarding their way of life (Leach, 1965). One of the municipal officers commented that:

.... you realize their mind set is really fixed on their culture and their traditions so we need just to adopt to the environment and engage as a town council in understanding that they moved with their practices, their culture is very important, their tribe is good and where they come from is important in shaping how they develop. There is need to see how best we can talk to their leaders, their mentors and role models and to see how best we can help them because when they come to Namatala they come with everything from their culture so it is something which is not easy to drop but we are living with them and we must ensure that they also coexist as we also live amongst their people (Mbale Municipal community development office Source: Researcher Interviews 16th March 2018).

4.4 Social-Economic-Environmental Relationships

Cluster analysis or clustering was used to analyse relationships; it is the task of grouping a set of objects in such a way that objects in the same group (called a cluster) are more similar (in occurrence or abundance) to each other than to those in other groups (clusters). It can be used to describe and to simplify comparisons of variables in complex environments affected by many factors. Cluster analysis has a simple goal of grouping cases into homogeneous clusters, yet the choice in algorithms and measures that dictates the successive merging of similar cases into different clusters makes it a complex process (Yim & Ramdeen, 2015). Agglomerative hierarchical cluster analysis, based on correlation similarity measures were used, to seek patterns and strength of relationships within the many social, cultural, economic and environmental variables that affect households derived from the responses in the questionnaire. These were triangulated with observations and the key informant focus group discussions. The table below (4-40) serves to define the different parameters as per the questionnaire. On each dendrogram, the elements with greatest similarities are placed nearest to each other and the shorter the line linking each to its neighbour, the greater the similarity/linkage in the pattern. From the bottom of each chart, the biggest differences in the clusters of the elements can be seen. Demographic elements are included on all charts. The researcher sought to establish if there was any relationship between the variables in the cells and also to establish how strong the relationships were. The cluster charts below show the relationships between the social and economic elements, economic and environmental elements and the social and environmental elements. The last cluster shows a combination of all of the elements and the nature of their relationships. These charts are explained as below;

Table 0-40 Cluster chart legend with broad category, data type and data code for cluster charts (dendrograms)

CELL	CELL	Water source (public Standpipe=1, borehole =2, open unprotected well=3, piped water in residence=4), Protected well = 5	WATERSOU
Head (1=YES, 2=NO)	HEAD	Type of toilet used (flush toilet=1, open unprotected Latrine=2, covered simple dry pit=3, outdoors=4, VIP latrine=5	TOILET
Age (1= <31Yrs, 2=31-40Yrs, 3=41-60Yrs, 4=Above 61Yrs)	AGE	Do they share the latrine with Neighbours? (1=Yes,2=No)	TOILSHAR
Gender (1=M,2-F)	GENDER	How they keep Household garbage (container=1, plastic/gunny bags=2, throw in the street=3, Other=4	GARBKEEP
Education level (1=none, 2=Primary, 3=Secondary, 4=Higher)	EDULEV	How is garbage disposed (garbage collector=1, dumping pit=2, Burning=3, throwing in the street=4, Other=5	GARBDISP
Number of household members	HSESIZE	solid garbage piles near them (Yes =1, No =2)	WASTPILE
Number of children under 18yrs	HSECHIL	Is Household garbage collected (1= Yes,2=No)	GARBCOLL
Number of adults	HSEADUL	frequency of solid waste collection (Once weekly or more=1, every two weeks=2Every month=3, Never=4)	GARBFREQ
Total number of guests	HSEGUEST	presence of stagnant or sewage water near them (Yes=1, No=2)	STAGNANT
Head earn income (Y=1, N=2)	HEADINCO	Open space for recreation (Yes=1, No =2)	RECSPACE

main job for household head	HHEADJOB	where do you cook from most of the times (Inside the house=1, outside the house=2)	WHERCOOK
Number of other working adults	ADULWORK	What do you use for cooking (Charcoal = 1, Brickets = 2, Saw dust=3, firewood= 4, gas = 5)	USEtCOOK
Number of rooms in the house have (one=1, two=2, more than two but less than 5=3, more than 5=4)	HSEEROOMS	What do you use for lighting (National grind electricity=1, Solar power=2, Kerosene lamps=3, Homemade kerosene tins=4, Other=5)	LIGHT
Number of windows in the house (None=1, One=2, two = 3, More than two but less than 5=4, more than 5=5)	HSEWINDO	Tree planting activities within the area (Yes =1, No =2)	TREEPLAN
Does everyone in the walking age own a pair of shoes (Yes= 1, No = 2)	OWNSHOE	Do you carry out recycling of plastic (Yes =1, No =2)	WASTPLAS
Meals per day (one=1, two=2, three=3, four/five=4)	MEALPDAY	Do you carry out composting of waste (Yes=1, No = 2)	WASTCOMP
Who owns the land you live on (Government=1, landlord=2, Self=3, Not known=4)	TENURLAND	Have you been affected by crime (Yes=1, No = 2)	CRIMEAFF
Who owns the house you live in (Government = 1, landlord= 2, Self=3, Not known=4)	TENURHSE	Government health center within the cell (Yes=1, No= 2)	NRHEALTHC
How much income (in Ugsh) do you earn per month (Less than 30K=1,31K-50K=2,51k- 100K=3,101k - 200k=4,201k - 400k=5 More than 500=6)	FINCOME	Diseases in adults within the last year Diarrhoea (Yes=1, No=2)	ILLADDI
Spending on Rent (1= ≤30,000,2=31-50,00, 51- 100,000=3,101,000-500,000=4,5=500,000 and above)	FOUTRENT	Malaria (Yes=1, No=2)	ILLADMAL

Spending on food (1= ≤30,000,2=31,00-50,000,3=51,000-100,000,4=101,000-500,000,5=500,000 and above)	FOUTFOOD	Cholera (Yes=1, No=2)	ILLADCHO
Spending on Medicine (1= ≤30,000,2=31,00-50,000,3=51,000-100,000,4=101,000-500,000,5=500,000 and above)	FOUTMED	Diseases in children in the past one year Diarrhoea (Yes=1, No=2)	ILLCHDI
Spending on school fees (1= ≤30,000,2=31,00-50,000,3=51,000-100,000,4=101,000-500,000,5=500,000 and above)	FOUTSCHO	Malaria (Yes=1, No=2)	ILLCHMAL
Spending on transport (1= ≤30,000,2=31,00-50,000,3=51,000-100,000,4=101,000-500,000,5=500,000 and above)	FOUTTRAN	Cholera (Yes=1, No=2)	ILLCHCHO
Spending on lighting and cooking (1= ≤30,000,2=31,00-50,000,3=51,000-100,000,4=101,000-500,000,5=500,000 and above)	FOUTNRG	Private clinic within the cell (Yes=1, No=2)	NRPCLINIC
Spending on clothing (1= ≤30,000,2=31,00-50,000,3=51,000-100,000,4=101,000-500,000,5=500,000 and above)	FOUTCLOT	Where do you seek medical help (government hospital=1, Government clinic=2, private clinic=3, by medicine at chemist=4)	MEDICHELP
household equipment Television (Yes=1, No=2)	OWNTV	*Origin District	ORIGIN
sofa set (Yes=1, No=2)	OWNSOFA	Length of time living in Namatala (1=>10yrs, 2=2-10yrs, 3=<2years)	TIMELIV
Radio (Yes=1, No=2)	OWNRADIO	*What is your ethnic group?	ETHNIC
Computer (Yes=1, No=2)	OWNPC	Marital status (Single=1, Married=2)	MARSTAT

Mobile phone (Yes=1, No=2)	OWNMOBIL	Total number of children in house	TOTLCHIL
Refrigerator (Yes=1, No=2)	OWNFRIDG	Recreational activities (Video=1, Community football=2, Traditional beer drinking=3, Religious activity=4, other =5)	RECREATN
		Are there any community group, cooperative or association that support you (Yes=1, No=2)	SUPPORTG
		Number of children in school	CHILSCHL
		Primary school in the cell (Yes=1, No= 2)	NRSCHOOL
		Type of house (Tin roof brick wall=1, Tin roof, mud wall=2, Grass thatched mud walls=3, Bamboo and mud walls=4),	HSETYPE

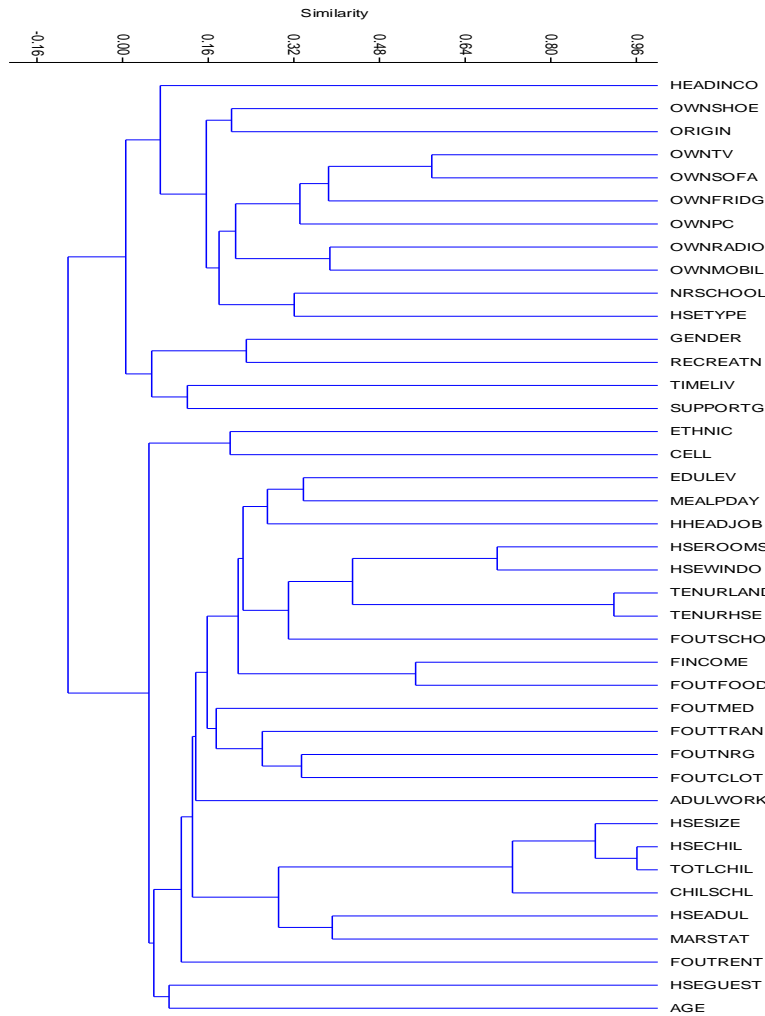


Figure 0-30 Cluster analysis: social, economic elements. For legend refer to Table 4-40

The cluster analysis of social and economic elements showed there was a close relationship between the zone and the ethnicity, the education level and the meals per day, recreation and gender. For example, the cluster analysis supports the expected relationships between income levels and ownership of assets and house type, but also linking these with district of origin (Table 4-2). The majority of the households in Mvule are the Itesots and the Karamojong whose main cultural orientation is social, they also built houses with very little ventilation for security reason. These relationships are not explained whether they are a positive or negative relationship and therefore the researcher used the Chi- square statistics to determine the significance of the relationship between the variables. The following were the findings;

Table 0-41 Chi square statistics

	ChilSchl	Ethnic	HseSize	HsChil
Chi-Square	1751.000a	2070.158b	893.646c	840.881d
Df	12	15	18	13
Asymp. Sig.	.000	.000	.000	.000
0 cells (0.0%) have expected frequencies less than 5. The minimum expected cell frequency is 58.3.				
0 cells (0.0%) have expected frequencies less than 5. The minimum expected cell frequency is 47.4.				
0 cells (0.0%) have expected frequencies less than 5. The minimum expected cell frequency is 39.9.				
0 cells (0.0%) have expected frequencies less than 5. The minimum expected cell frequency is 54.1.				

(Source: Household oral survey questionnaire, Q 34, N=758)

The chi-square tests show that there is a distinct relationship between the number of children in school, the ethnicity of the household, the house size and the number of children in the house, the cluster analysis revealed that with the exception of age and gender, the educational level of the household head determined the number of children in the household, the recreational activity and the number of meals per day. In the Mvule and Bubirabi cells, 36% and 30% respectively had no education (Table 4-14), this seemed to impact greatly on the number of children in school. The results on the social relationships (Table 4-41) show that there is a distinct relationship between where one lived, and the status of services provided (Sig .000). The education levels of the household heads also had a significant relationship with the social factors, in Mvule for example there was more alcohol taking 53% (Table 4-21) than evidenced in the other cells as a recreational activity. From the cluster the relationship between the ethnicity and cells which show a strong relationship with the cluster of household size, total number of children going to school and total number of children. From the researchers' observation, the ethnic groups are clustered in specific cells, for example the Mvule cell had more people from the North which includes the Karamojong and the Itesots (Table 4-2) whose culture of housing structures are mud

walls and grass thatch with one or two windows, their education levels were also low as compared to the other cells under study. Sisye cell on the other hand had 88% of its inhabitants from the Eastern region, in this cell there is a strong relationship between the level of education and children in school.

In conclusion, the cluster analysis supports the expected relationships between income levels and ownership of assets and house type, but also linking these with district of origin (Table 4-2). Ethnic origin has a strong control on income and poverty. It is also linked to education levels. This is not a surprise, but the cluster analysis proves these relationships. This means that social and cultural linkages with economic activity in the slums clearly exist. Solutions will need to consider these social and cultural differences. There is a link between use of support groups and gender, the use of recreational time and the length of time that people have lived in Namatala, this is because support groups tend to have developed from a religious background and are formed by longer established residents, and are more attended by women. Support groups work to improve on the social status through peer support and the economic status of the community through group savings and loans scheme, this aids in strengthening the community's social and economic resilience.

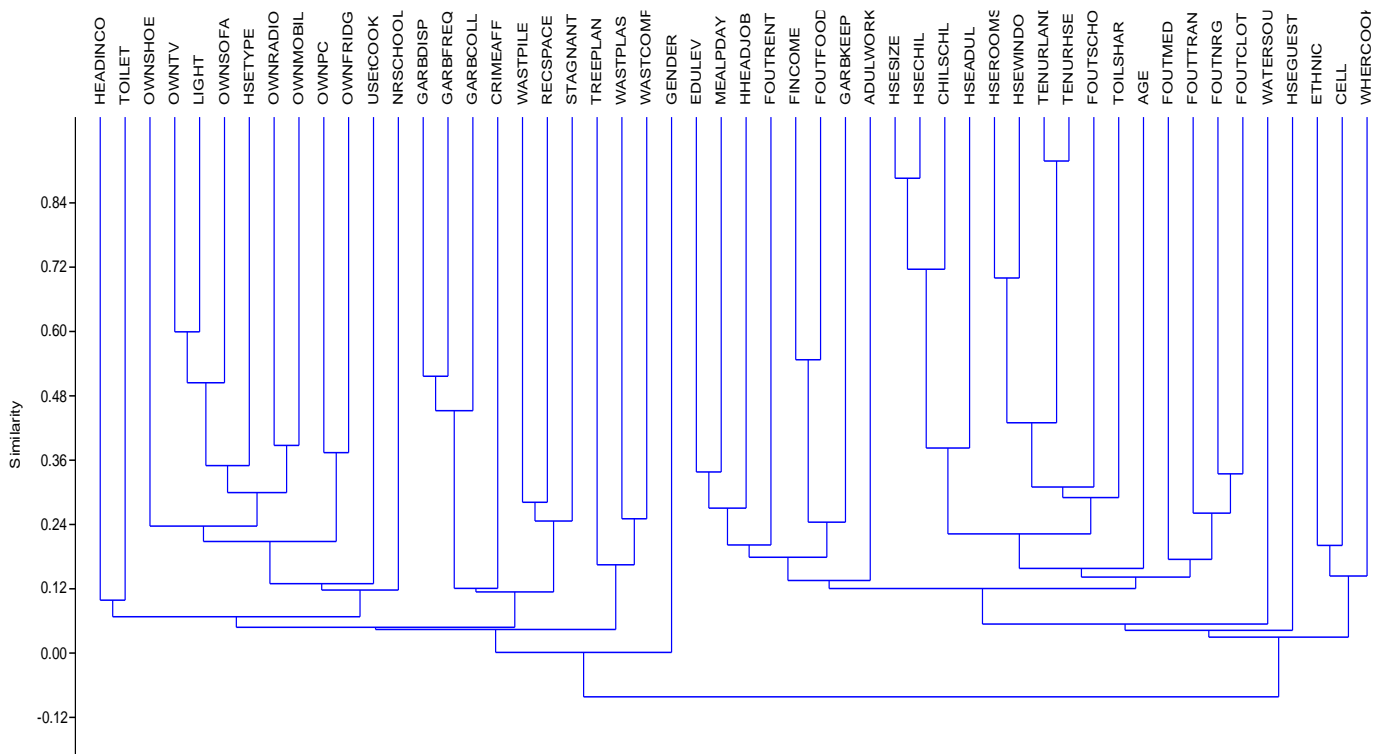


Figure 0-31 A cluster analysis of the economic and environment factors For legend refer to Table 4-40

A cluster analysis of the economic and environment factors was done to establish the relationships between the two elements (Figure 4-31). There is a strong economic environmental relationship with several factors in all the four cells such as the person who owns the house and the number of rooms in the house, the type of toilet and the head earning income, the cell type and the ethnic group among others. It was observed that the areas that have more tin roofed houses also showed improved sanitation and waste disposal practices, with less garbage piles in the cell. There is a strong link between ownership of assets and the type of house lived in. The mud walled grass thatched houses had phones and radios, while those living in brick houses have much higher ownership of television sets and sofa sets. These relationships are also broadly linked with incomes and the level of education of the household head.

There is a strong environmental spatial dimension to patterns of waste and its disposal. Households in more affluent locations were able to dispose their household waste better than the ones with more slum-like characteristics, especially in Mvule. There was also a close relationship between the stagnant water, recreational space, and crime in Mvule and Bubirabi cells. There are strong links between tenure patterns and house size, school fees and toilet sharing. In Mvule, the house size and land tenure showed that they mainly belong to the landlord, and they had a higher number of people sharing the toilet as compared to the other cells. There were observed links between education levels and number of meals per day.

This link was mainly determined by the level of income which further determined the type of house that the household lived in and thus the rent, food expenditure and how garbage is kept. These are also broadly linked with cell and ethnic patterns, the Karamoja and the Itesots seem to be mainly living in Mvule (also known as Kikaramoja), Bubirabi has more Bagishu, as a result some of the cultural patterns are evident such as the house types and use of toilets. The strong relationships between the environment and social factors (Figure 4-30) appear in the type of lighting used and the house type, gender and recreation, education level of head and toilet sharing

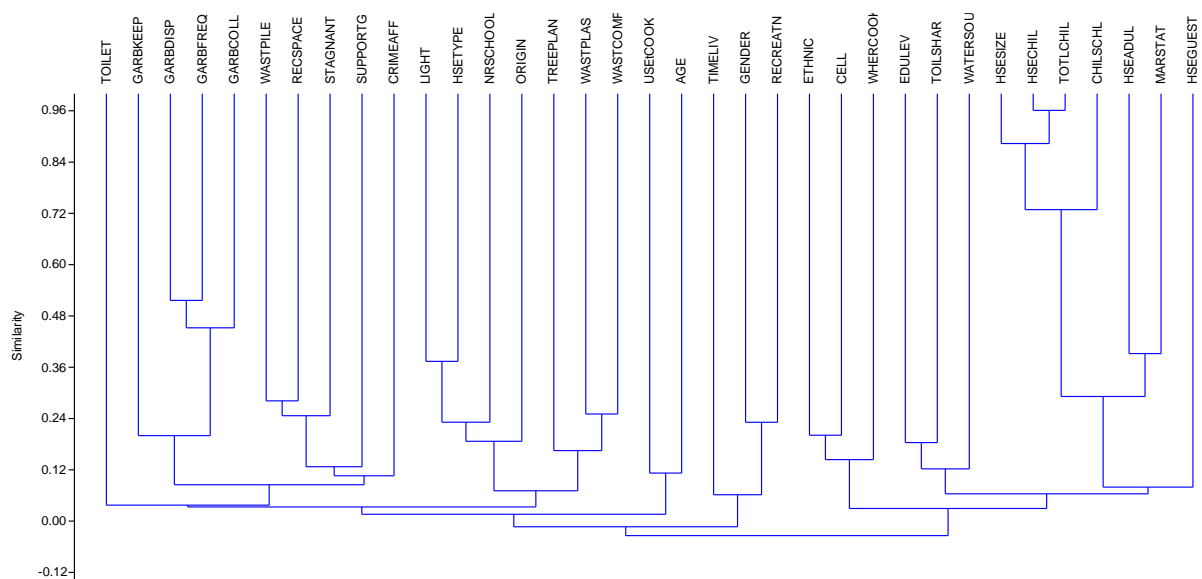


Figure 0-32 Cluster analysis: social and environmental elements. For legend refer to Table 4-40

among others. The findings show that there is a high degree of correlation between the environmental and social factors that are at play in Namatala. The majority of households (47%) (Table 4-38) use homemade Kerosene tins for lighting. There is a close relationship between the type of house and the incidences of diseases in the households, the mud-walled grass-thatched houses with one or no window, prevalent in Mvule cell had the highest incidences of diarrhoea and other diseases (Table 4-19). The water source in the cell was mainly boreholes at 23% which could be highly contaminated considering that the area is close to a swamp (Innocent & Christoph, 2013). From observation, the pit latrines in the Mvule cell were dilapidated and dirty. This could explain the strong relationship between the incidences of disease and type of toilet used in the cluster chart. Mvule had also the highest amount of garbage kept in gunny bags near the houses (Table 4-34). This shows a very close relationship with diarrhoea. 76% of the households in Mvule used homemade kerosene lamps for lighting (Table 4-38) and cooked inside the house. Observation results show that the incidences of fire outbreaks in Mvule cell are quite high and during one of the visits, there was a fire outbreak that destroyed houses. When the researcher visited the area 6 months later, new housing units had been erected in the location where fire had occurred. This demonstrates Namatala slum dwellers' resilience in the face of constant tragedies. The government is expected to be responsible for provision of social amenities such as water supply and waste management, these are not being provided adequately

or are completely lacking as shown from the data collected and focus group discussions.

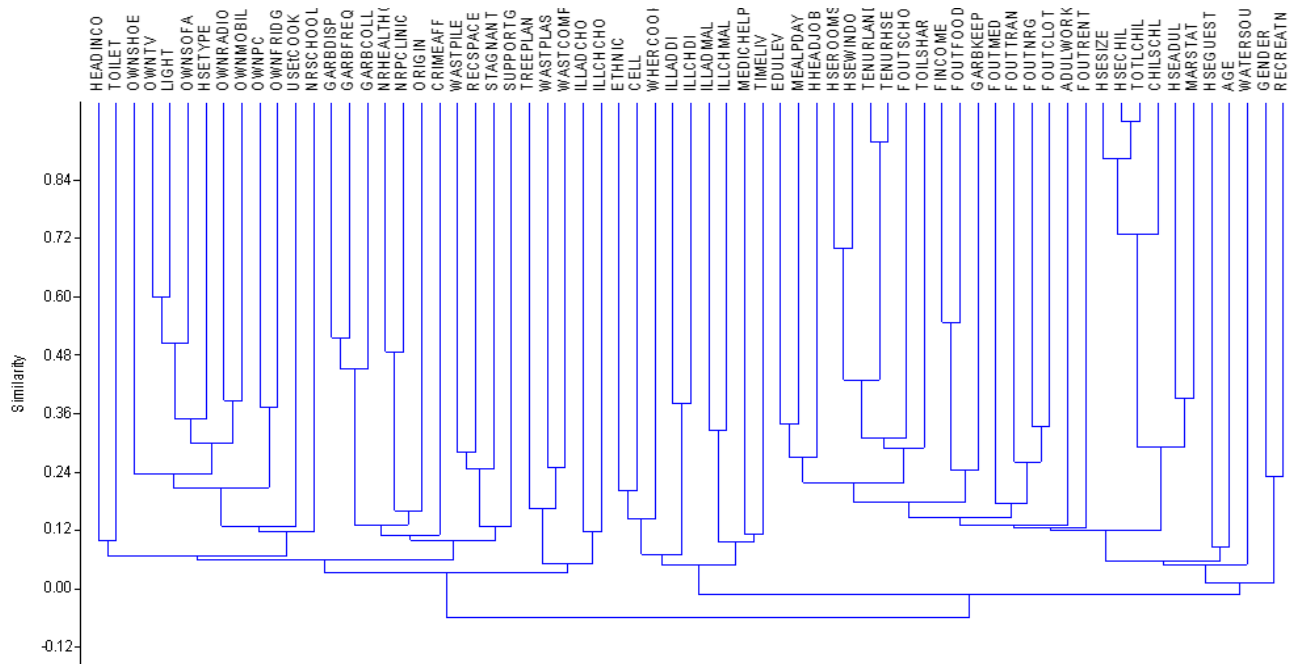


Figure 0-33 Cluster analysis: All social, economic and environmental elements. For legend refer to Table 4-40

A combined dendrogram (Figure 4-33) shows that the different elements are closely linked, thus confirming that the social, economic, cultural and environmental aspects are closely related in Namatala. This could also be associated with the demographic and health elements that are included in each chart. Illnesses seem to be linked to ethnic groups and cells, this correlation could be used to advocate for socio-cultural and economic transformation in Namatala. With the understanding of these relationships, social capitals that exist could be harnessed through participatory community development to improve livelihoods in Namatala slum. Although the government is expected to supply social amenities, this is not normally the case, as a result the community-based support groups and non-governmental organizations came out clearly as the drivers of socio-economic development in Namatala. In the focus group discussions participants observed that the failures by the government in service provision was being supplemented by

the different third sector groups that were working in Namatala. For example, NGOs such as Jenga, Child of Hope (CoH) and Child Restoration Outreach (CRO) were providing education, savings group support and health services; religious institutions were offering healthcare, recreational services, and food. The community and the third sector groups work together as Namatala's capitals to make Namatala slum a hopeful place. Namatala slum therefore, demonstrates the community's realization that the government does not wholly manage their requirements, the solution may lie in a well-coordinated and collaborative effort among the stakeholders which include third sector groups.

The benefits of urbanization will only materialize if there exists a focused political leadership and a deliberate effort by policy makers to adopt effective urban policies to address urban conditions (El-Hadj, et al., 2018). The different international and government policies, third sector social capitals and their contribution to the social, cultural, economic and environmental parameters of Namatala are discussed in the subsequent chapters.

4.5 Conceptual framework

A conceptual framework (Figure 4-32) has been derived from analysis of the situation in Namatala and from literature discussing the situation and solutions in other slums. It depicts the relationships and interconnectedness of social/cultural, economic, and environmental variables that are at play in Namatala for sustainability (Hall & Pfeiffer, 2000). Under each of these three are the constructs of the current situation in the place that provide focus for the present study. Ideally, the desirable outcomes, as the attainment of a sustainable city, is constituted by the outcomes in form of interactions and or correlation arising from the components of the current situation in the place. However, organizations do not operate in a vacuum or in ideal situations. Therefore, there are several factors that act to intervene or moderate the place-specific situation

thereby affecting the outcomes. These have been enumerated under the desirable interventions which include the policy frameworks, human resources and the financial ability of governments to implement the interventions.

Since the urban situation is changing at a very fast rate, urban interventions are frequently reactive rather than proactive and mostly driven by private developers rather than the government. As a result, there are governance gaps and duplication of functions in relation to the developmental directions to be followed regarding slums. There is need, therefore, for governments to put in place appropriate institutional and legal structures to promote sustainable urbanization (UN-HABITAT, 2017). Consequently, governments have to understand the role of the slum, its design and purpose and how it can be transformed to create assets rather than liabilities (Brown, 2012). Practically, there will be need to involve the community and third sector groups in order to implement desired transformations and thus sustainable cities.

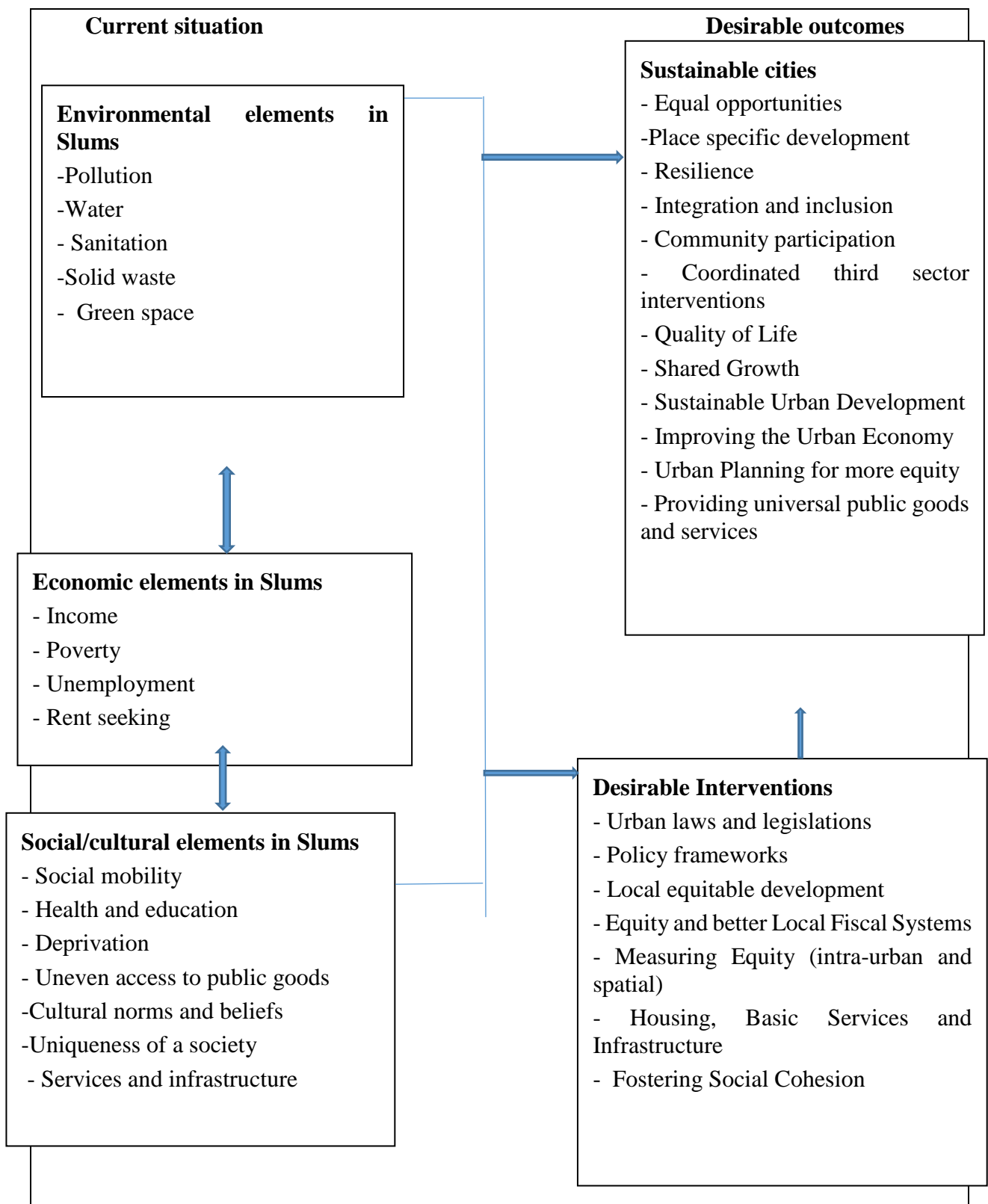


Figure 0-34 : Conceptual Framework for the social-economic-environmental situation and desirable outcomes for Namatala.

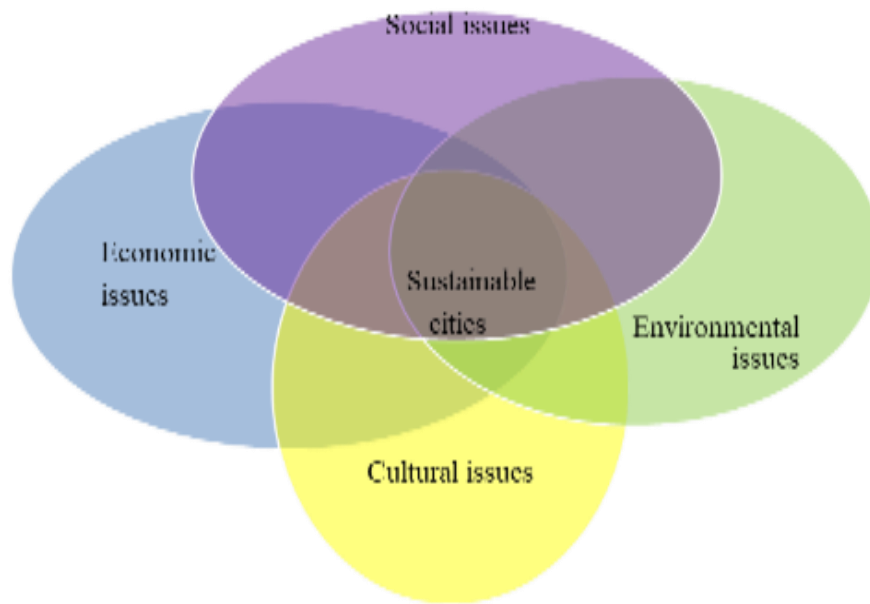


Figure 0-35 Venn diagram illustrating the sustainable cities model of inclusiveness for all

Figure 4-34 further explains the sustainable city model looking at cities as concentrated, complicated, and integrated systems. The key feature of the research is how the political balance, policies, and distribution of power between social groups within the municipality and the national government and capacities and coordination of third sector groups applies to linked interactions within and across sectors (Oakley, 1991). The overall goal of the work is to generate robust evidence on African cities as systems to influence policies and programs aimed at more effective economic development, cooperation within groups and poverty reduction. The model (Figure 4-32) illustrates how cities function, grow, and develop (desired outcomes) as a result of the interaction with the environment, economic, social and cultural factors (current situation). Subsequent chapters engage with how the political economy intersect with private sectors in designing and implementing solutions that address slum (desirable interventions).

A large proportion of the third world's urban population lives and works in very poor conditions (UN- HABITAT, 1989). Slum dwellers inhabit many different low-quality forms of housing. They lack basic infrastructure and services and live in cramped houses, there is lack of infrastructure, readily available drinking water, sewerage facilities to dispose human wastes hygienically, garbage and refuse disposal facilities as well as lack of basic measures to prevent and provide primary healthcare basically termed as the super wicked problems (Metens, 2015). Hence slum dwellers are prone to diseases such as diarrhoea, dysentery, typhoid, intestinal parasites and others. This is true of Namatala as evidenced in the data collected. The problem of low income affects the level of capital formation, which deprives the people of sufficient resources to utilize in improving their homes and keep their environment healthy for comfortable living. This is why many people would live in a room (George , 1999). Because of limited financial and human resource capacities and corruption (Leipziger, 2001), the current urban process is associated with poverty, environmental degradation and population demands that outstrip service capacity (Bidandi, 2017)

Although government census data has been taken for Namatala (UBOS, 2016), an audit of looking at the social, economic, cultural and environmental aspects of the area has not been done especially one that illustrates the nature of Namatala in relation to its growth and history, which this research sought to do. This section brings forward the main findings from the chapter on the patterns and state of Namatala including a basic conceptual framework/model with social, economic, cultural and environmental elements at play in Namatala as a place using the place specific characteristics. Cluster analysis was developed as a technique to identify patterns in the data, to reduce complexity and to help clarify important controlling factors at play in Namatala it was useful in helping to identify relationships in the variables, and the conclusions that came out.

As is typical of formation of slums, Namatala is situated near the river, thus it is affected by both infill and sprawl, and it is also gentrifying, as more established slums do and it is plausible that one of the reasons for this state is the fact that other slums are mushrooming in Mbale municipality and the former residents of Namatala are moving to those slums in search of cheap housing as Namatala is taken over by more standardized housing structures and thus a middle class population. The following was discussed:

Social aspects

Namatala slum as is evident of other slum areas in the developing economies (UN-HABITAT, 2017), is occupied by people who are renting the houses they live in, a few of them own family land and houses. In this area, there are several primary schools where children access education. Secondary schools are minimal. The overall trend of children school attendance stands at 70% while those who do not attend school account for 30% and these are comprised of teenage mothers who are fully engaged in commercial labour. Alcohol consumption and religious involvement are the major leisure activities that the people of Namatala engage in as leisure.

There are Government and private health facilities in this locality that provide medical services to the people. Households access free medical services from government health facilities and free primary and secondary education. Social support that would supplement on government initiatives to promote holistic growth of the people is very low as only 12% of households belong to and are supported by community groups.

Twenty-three per cent (23%) of the households have one meal a day, a situation that exposes the households to malnutrition related illnesses and probably influences the affected populace to

engage in criminality. Cases of criminalities are ongoing in this community and these include robbery, beatings, killings, and fighting but declining due to community policing.

Economic aspects

Few residents of Namatala derive their incomes from formal employment while majority are employed by the informal sector. Those in informal sector get a monthly income of less than Uganda shillings 100,000. The households spend their incomes on rentals, medical care and school fees at an average cost of less than Uganda shillings 50,000 per month on each item. Food and clothing consume between Uganda shillings 51,000 – 100,000 or above because these are basic life necessities that cannot be avoided.

Dwelling units are made of bricks, mud and wattle. They are mostly round mud and wattle, grass thatched and rectangular shaped, grass-thatched. Some of the dwellings are rectangular brick built with corrugated iron roofs that appear rusty. Most of the households in Namatala slum, (64%) were living in limited space, they were sharing one room with limited ventilation (42%) with one window, the household occupancy was at a mean average of 5 people. The government statistics from the 2014 census put this at 5-7 persons (UBOS, 2016). Putting on shoes is not a common phenomenon among the residents of Namatala, 80% walk bare footed and the common diseases are malaria and diarrhoea. Within these dwellings, 64% of the households own mobile phones, 42% own radios, and 25% own Television sets census statistics put the ownership of radios at 41.2% (UBOS, 2016).

Environmental aspects

Water is a necessity of life and the people of Namatala access piped water that is mainly provided at a fee at public access points. Some families survive on water from unprotected

sources and this water is often consumed directly without first boiling it. Communal pit latrines were available in this community. However, they had cracked walls, they had been over-used, and most of them were full, with faecal matter spilled all over the floor. The cells that are inhabited by the Karamoja tribe were worse. The study established that the Karamoja believe that it was a taboo to use latrines, doing so would result to a serious omen of infertility among women and it could lead to blindness among men.

Garbage management was very poor. The designated garbage collection places where most households dump their waste were not functional and some families dump garbage on the streets. Piled garbage is collected on a weekly basis while in some places it is never collected. No one is responsible to assemble garbage dumped on the streets. Some households in Namatala slum are not only experiencing the challenge of garbage management, but they are also tussling with the challenge of stagnant water around their homesteads and the situation is worse during rainy season when the river floods.

Most people in Namatala were using charcoal and firewood for cooking. However, few households are involved in tree planting. More than half of the households were cooking from outside the house as a strategy to reduce incidences of fire outbreaks. Lighting options were assessed and most of the households were using homemade kerosene lamps “Tadoobas” and Electricity, the 2014 census statistics showed the use of “tadoobas” by households in Namatala at 25.9% (UBOS, 2016).

Cultural aspects

There has been growing policy attention on culture (Hawkes, 2001; Nadarajah & Yamamoto, 2007; Pascual, 2009). Analysis of household and community-derived data confirms that there is a cultural component to social, economic and environmental factors, which is

affecting sustainable development. It is stronger in some areas of Namatala, particularly those areas that have the poorest conditions and highest levels of deprivation. Culture is therefore a significant factor as both a barrier and potentially an opportunity for new ways for development in a more sustainable way. Cultural considerations should be incorporated into plans and processes to build place specific sustainable cities and communities. Since culture is diverse and evolving, intercultural realities and relationships must be incooperated in order to pursue sustainable cities.

Culture should be viewed as capital, a way of life that interacts with the environment, a central binding element and as a creative expression. Namatala is rich in culture considering the different ethnic groups represented and considering the uniqueness of each culture. This can be harnessed for sustainability purposes to create a culture specific development that is participatory and bottom up. The subsidiarity principle suggests that people closest to the problem at hand are the ones with the strongest moral claim to finding a solution, therefore, subsidiarity is particularly asserted by the cultural component of sustainable societies which would emphasize the contribution of the individual by providing the necessary conditions for the individual to prosper (King, 2014). The social fabric of the people of Namatala would then determine the place specific interventions to deal with social, economic, and environmental issues that are play in Namatala for sustainable development.

Strengths, Weaknesses, Opportunities and Threats

A summary of the key challenges and what needs to be addressed in finding sustainable solutions for Namatala using the pillars of sustainability can be considered using a SWOT structure (Table 4-42). It is evident from the ongoing analyses that there is need for intervention by the government and other non-governmental organizations and civil society to enable

expected results on slum improvement for sustainability. The data captured here will bring to light different elements required for slums in Africa, with Namatala as a place in perspective.

The subsequent chapter deals with the policies and the relevant literature. Both international and local policies will be looked at and compared to how they relate to Namatala.

Table 0-42 SWOT Analysis of social, economic, environmental and cultural issues revealed by the analysis of household conditions in Namatala.

	Strengths	Weaknesses	Opportunities	Threats
Social	<p>There is social cohesion, people come together to solve their own problems</p> <p>Community awareness of their circumstances and desire to solve them</p> <p>Community Social resilience</p>	<p>There is influence from the elite and politicians.</p> <p>Low levels of education for most of the households, this could hinder information dissemination.</p> <p>High incidences of diseases</p> <p>Social support that would supplement on government initiatives to promote holistic growth of the people is very low</p> <p>Gentrification and slum clearance over the years impacts negatively on the poorest</p>	<p>They have third sector groups and organizations that are willing to work with them</p> <p>Community policing is bringing social order</p> <p>Availability of phones in most households ensures that the community is in closer contact with its members, making communication easier and faster</p>	<p>Uncoordinated support from the stake holders</p> <p>Need for a well-coordinated and collaborative effort among the stakeholders</p> <p>Little or lack of government support</p> <p>Limited government health facilities</p> <p>There is evidence of gentrification and slum clearance over the years</p>
Economic	A large work force	Majority are employed by the informal sector	Availability of many small-scale job opportunities	Lack of credit facilities from the banks.

	<p>Existence of community savings groups</p> <p>Peer to peer support</p>	<p>Limited skills and education base for the workforce</p> <p>Lack of capital and inability to access loan facilities</p> <p>Lack of finances because of low-income base</p> <p>Land owned by private landlords</p>	<p>Support from the third sector groups especially on the saving culture</p>	<p>Inability by the government to recognize the slum as an economic hub</p>
Environmental	<p>Community mobilization of a clean environment through use of gunny bags for waste disposal</p> <p>Community initiated toilet facilities</p>	<p>Poor garbage collection culture</p> <p>There is lack of clean drinking water</p> <p>Toilets are few and shared by many</p> <p>There is stagnant water in the slum</p> <p>Most of the household members were found to be living in limited space</p>	<p>Third sector groups willing to support in environmental issues</p> <p>Failures by the government in service provision was being supplemented by the different third sector groups that were working in Namatala.</p> <p>There is evidence of gentrification and slum clearance over the years</p>	<p>Inability by the government ability to offer services</p> <p>Uncoordinated intervention by third sector groups</p>
Cultural	<p>Deep cultural roots</p> <p>The cells are divided according to different ethnicities thus opportunity for greater cohesion</p>	<p>Some cultural practices especially alcohol consumption is detrimental to the wellbeing of the households</p>	<p>The cultural orientation creates unique communities that can come together to solve their own specific problems and exploit their strengths</p> <p>New opportunities from cultural</p>	<p>The cultures are sometimes misunderstood, and the wrong interventions are applied</p> <p>Lack of government acknowledgement of good cultural practices that could be harnessed</p>

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Source: Researcher

4.7 Conclusions

Namatala slum exhibits problems which can be classified as wicked (Rittel & Webber, 1973). The areas that exhibit slum like conditions as per the definition (UN-HABITAT, 2012) are Mvule, Bubirabi, Sisye and Nyanza as highlighted in the map below. It is wrought with inadequate social amenities, poor housing, total lack of solid waste management, lack of essential infrastructure and inadequate access to clean water, safe sanitation facilities and security of tenure. The major challenges facing Mbale town are growth of informal human settlements, poor land records, lack of serviced land, poor land tenure systems, outdated structural plans, political interference in decision making, outdated laws, high urban population, and inadequate human resources (UN-HABITAT, 2013).

CHAPTER 5: INTERNATIONAL, AFRICAN, NATIONAL, AND MUNICIPAL URBAN POLICIES AND STRATEGIES INFLUENCING THE DEVELOPMENT OF NAMATALA

5.1 Introduction

This chapter addressed objective three which aimed at appraising the role of international, African, national, and municipal urban policies and strategies in place building or place making in Namatala slum. Sections 5.2 to 5.6 present the results of policy document analysis (Cardno, 2018). This analysis involved the interrogation of international, regional, national and local policy documents from the three aspects of context, text and consequences. Firstly, international, regional (African), national (Ugandan) and local (Mbale) urban policy documents were subjected to a detailed policy purpose, construction, practice implementation and impact analysis. The policies were also examined for the presence or absence of the features of the place-based approach to development. Further, the results of the interviews with the representatives of Mbale Municipal Council centred on policy legislative and institutional frameworks at play in Namatala and triangulated with the policy document analysis were presented in section 5.7 and section 5.8.

5.2 International Urban Policy

A number of conferences have been held globally on urban policy and development. The first, the United Nations Conference on Human Settlements, Habitat I, was held in Vancouver in 1976. This conference resulted from the UN Conference on the Human Environment held in Stockholm in 1972 to address issues concerning the environment and sustainable development (UN-HABITAT, 1972). It dealt with local environmental problems, such as housing, shelter,

infrastructure, water, sewage, and transport (UN-HABITAT, 1976). Since the conference, UN-Habitat has come up with policies and programs meant to improve urban conditions for all.

The second, The United Nations Conference on Human Settlements (Habitat II) was convened in 1996 in Istanbul to address international environmental problems (UN-HABITAT, 1996). The two themes for Habitat II were sustainable human settlements in an urbanizing world and adequate shelter for all (UN-HABITAT, 1993). This conference received its push from the United Nations Conference on Environment and Development (UNCED) held in Rio in 1992 (UNCED, 1992). At this Summit the Habitat Agenda was adopted. The international community agreed to take concerted action to work towards achieving the goals of global sustainable development. This agenda recognized the right to adequate housing, sustainable human settlements development in an urbanizing world, and the increased participation of the private sector and non-governmental organizations in the urbanization process. Habitat II conference advocated for proper management of human settlements as a condition of the attainment of the overall sustainable development goals and acknowledged that the multifaceted aspects of human settlement policies and programs reflected the importance given to the link to other environment and development issues. It reinforced the role of local authorities in shaping their development agenda.

Another conference, the Global Conference URBAN 21 was held to identify concrete solutions to urban problems and to generate an appropriate vision and action-oriented strategies for achieving worldwide sustainable development in the 21st century, (Hall & Pfeiffer, 2000). The aim of URBAN 21 was to work towards achieving global sustainable development through clear articulation of the goals set out in Agenda 21 and the Habitat Agenda (Hall & Pfeiffer, 2000). A new push to the discussion on the future of towns and cities was given. The 'World Report on the Urban Future' was the basis for the subject matter of URBAN 21 Conference on Sustainable Urban Development. In this conference, the following definition of sustainable

development was developed: ‘improving the quality of life in a city, including ecological, cultural, political, institutional, social and economic components without leaving a burden on the future generations’ (Hall & Pfeiffer, 2000).

The above-mentioned conferences dealt with human settlement issues in general and urban settlement issues in particular but were silent about slums. The UN-Habitat Global Report on Human Settlements titled “The Challenge of Slums” (UN-HABITAT, 2003), which was launched in 2003, was the first international policy document addressing the problem of slums. This document provided new incentives and directions for future slum policy to national governments, municipal authorities, civil society organizations and international organizations concerned with improving the lives of slum dwellers. It fostered a baseline for the long journey towards cities without slums. It was, therefore, seen as the starting point of the task of global monitoring of the United Nations Millennium Declaration target on slums (UN-HABITAT, 2003).

Another milestone in the development of the international urban policy was Agenda 2030 adopted by the United Nations General assembly in September 2015 (UN-HABITAT, 2015). This agenda introduced a set of 17 Sustainable Development Goals (SDGs) addressing future global development issues. One of these SDG’s, SDG number 11 was dedicated to “making cities and human settlements inclusive, safe, resilient and sustainable”, giving a prominent role to cities in development. Target 11.1 of Goal 11 of the sustainable development agenda, in particular, sought to “ensure access for all to adequate, safe and affordable housing and basic services and to upgrade slums by 2030.” This objective advocated for a balance between the three pillars of sustainable development economic, social, and environmental towards a prosperous society. Culture was later included as a fourth pillar, emphasizing that the culture of a people in many ways determined their choice of growth paths (UNESCO, 2015).

5.3 Africa Urban Policy

For decades, the international development community and African governments have viewed Africa through a rural lens. Since policies promoting urbanization as an engine of attaining sustainable development or as a vehicle for the sustenance in Africa are mainly derived from the developed world experience, a complex situation of post-independence nationalist ideology and the development of a basic need approach ensured that development initiatives generally targeted rural settlements (UN-HABITAT, 2015).

Urbanization and human settlements development in Africa have for a long time not been given priority by national governments, politicians, bureaucrats, and technocrats. Urbanization in Africa has, instead, been regarded as a symptom of failure and a deterrent for future development. African policymakers have failed to appropriately plan for and manage urbanization to harness the potentials of urban centres as drivers of development. The potential of urbanization in Africa's transformation has, thus, not sufficiently reflected in existing regional, national and sub-national policies and strategies. There is now a growing appreciation that it is impossible to deal with Africa's growth and poverty challenges without managing urbanization (UN-HABITAT, 2010). Two agendas, Agenda 2063 for the structural transformation of the continent and the implementation of the SDG 11 and the New Urban Agenda (AUA) (UN-HABITAT, 2015), a program of the UN habitat, have guided urbanization in Africa.

The African Urban Agenda, was launched to shift emphasis from a rural orientation to an urban orientation in Africa, (UN-HABITAT, 2015). It discussed the need to raise the profile of urbanization as a force for the structural transformation of Africa. This was to be done by local authorities through coordinated planning, capacity building and partnership building with communities and other non-state actors in the slums. It was hoped that such partnerships and

collaboration between state and non-state actors would help to overcome capacity constraints and offer new sources of knowledge to inform risk reduction strategies and decentralizing management of resources to the local level. The collaboration would not only help advance existing local level priorities but would also support the municipalities' work in achieving the objectives of global agendas such as the New Urban Agenda and the Sustainable Development Goals and national priorities in relation to urban resilience and planning (Hall & Pfeiffer, 2000).

The AUA therefore worked to link people-centered processes with leadership, vision, and advocacy, to increase buy-in in a nexus of bottom-up and top-down processes, thereby deepening ownership by all citizens. The AUA began with two pioneer programs: i) the strengthening partnership for an Africa urban agenda (SPP) and ii) the presidential initiative (P.I). These programs emphasized top-down and bottom-up capacity development and advocacy frameworks for increased stakeholder participation and high-level political buy-in. The SPP facilitated participatory drafting of the African National Report to Habitat III, hence ensuring not only a high representation and engagement of all relevant stakeholders during the process. But also ensuring Africa's priorities were well captured in the final draft of the NUA. The Presidential Initiative (P.I.), on the other hand, played an important divergent and complementary role to the SPP in ensuring a high-level political buy-in for sustainable human settlements and urbanization as a vehicle in attaining structural transformation within the framework of Africa's Agenda 2063.

5.4 Uganda Urban Policy

5.4.1 Introduction

Several policies in Uganda address concerns of urban areas and informal settlements, from national, through district to local levels. These range from national planning, housing, land and urban policies. Being one of the member countries that have signed the protocols on sustainable

development and made several policy recommendations on sustainability, the government of Uganda is supportive of attempts to meet the challenge of improving the lives of slum dwellers especially in policy formulation (Republic of Uganda, 2016). This section analyses Ugandan urban policy documents.

5.4.2 National Planning Authority Act

The National Planning Authority Act, 2002 provided for the composition and functions of the National Planning Authority (NPA) in accordance with Article 125 of the Constitution (National Planning Authority, 2002). Before the preparation of the 2010 National Physical Development Plan, the NPA was concerned with social and economic planning but lacked a full spatial dimension (Brown, 2013). The NPA is now responsible for coordinating the process of formulating five-year National Development Plans (NDPs) as well as longer-horizon Perspective Plans, all of which must encompass the urban development sub-sector. The Authority is, therefore, not only interested in seeing that national and local government physical development plans are developed and approved but has also been playing an increasingly vital role as coordinator of an integrated approach to the urban development function in the country. The primary function of the authority, as stated in the Act, is to produce comprehensive and integrated development plans for the country. The Act also mandates the Authority to be the national coordinating body of the decentralized planning system, to design and implement programs to develop planning capacity in local governments. The Authority is, therefore, greatly interested in seeing that national and local government physical development plans are developed and approved, as it also increasingly plays the vital role as coordinator of an integrated approach to the urban development function in the country.

However, the process has been hampered with land grabbing, displacements, and evictions and this has negatively affected people whose survival is tagged on slum settlement areas.

5.4.3 Comprehensive National Development Planning Framework (CNDPF)

The Comprehensive National Development Planning Framework (CNDPF) was introduced in Uganda in the year 2007 (National Planning Authority, 2007) and numerous changes were affected in the planning system (Government of Uganda, 2007). When in 2012, the cabinet approved the CNDPF, it became a key part of the policy and institutional context of the National Physical Development Planning (NPDP). The five principal elements of CNDPF were: (i) the 30-year national vision; (ii) 10-year national development plan; (iii) the five-year national development plans; (iv) Mid-term Reviews (every 2½ years); and (v) annual plans and budgets (National Planning Authority, 2007). The agency which was responsible for planning in Uganda under the CNDPF framework was the National Planning Authority. The aim of the CNDPF was to lay down five-and-ten-year planning cycles on which the annual plans of Ministries, Departments and Agencies, including the budget, would be based.

The changes brought a mentality shift from a needs-based approach to a proactive vision-based planning approach. The CNDPF framework has effected numerous changes in the Ugandan urban planning system. These changes, in turn, have brought a mentality shift from a needs-based approach to a proactive vision-based planning approach.

5.4.4 The National Land Policy (NLP)

In the pre-Colonial period, identification of a single land tenure system for Uganda was almost impossible since there were varying customary tenure practices depending on the diverse ethnic groups (Green, 2006). Communities never documented land as owned by the individual in Uganda. Though the numerous rights of the individual to own land were subjected to sanction

by clans, family/relatives, and the community, at independence, there was need for land use planning in Uganda to address the land tenure system in the post-independence period.

The constitutional legal framework of the 1960s were among the first regulations made to address urban growth and increasing housing demand (including that for the urban poor) in the country. Later, the constitution of 1995's national objective on the role of people in development stated that: "The state shall take the necessary steps to involve the people in the formulation and implementation of development plans and programs that affect them." (Ministry of Local Government, 1997). This constitution, the supreme law of Uganda, made provisions for the setting up of the Uganda Land Commission and mandated it to hold and manage any land in Uganda vested in or acquired by the Government of Uganda in accordance with the provisions of the Constitution. It also provided for setting up of the district land boards functions including the following: Firstly, holding and allocating land in the district that did not belong to any person or authority and, secondly, facilitating registration and transfer of interest in land and dealing with all matters concerning land in the district.

Further, the Land Sector Strategic Plan (LSSP), was formulated. One of the objectives of this plan was to prepare the National Land Use Policy 2007. This led to the passing of the Physical Planning Act 2010, with two major changes. Firstly, this made the whole of the country a planning area unlike before where physical planning had applied only to gazetted towns. Secondly, the act identified the different types of plans as national physical development plan, regional physical development plans, district physical development plans, urban physical development plans and local physical development plans (UNDP, 2010). According to this policy, all plans should conform to the national physical development plan and the physical development plans made by the higher authority. However, such a policy is on paper and nothing has been implemented to better the well-being of slum dwellers. The National Land Policy

(revised 2014) was a key part of the setting for land use planning in Uganda to address the land tenure system process through physical planning.

The inclusion of the land act in the 1995 Constitution together with the 1998 Land Act enabled the acknowledgement of overlapping rights to a similar piece of land and therefore granting occupancy rights to both tenant and owner of the land. These rights-controlled land which included "clan rights over land which was ancestral, not alienable to strangers. According to the 1995 constitution, land in Uganda belongs to the citizens of Uganda and is vested in them in accordance with four land tenure systems provided for in the Constitution, *i.e.*, customary, Mailo, freehold and leasehold systems. This provision was re-enacted in section 3 of the land Act 1998. This has been widely interpreted by landowners as meaning that they are free to develop the land they own as they wish without being subjected to control measures for development. This has led to the current disordered and uncoordinated physical development that characterizes Mbale municipality.

A number of studies explain Kampala's unplanned urbanisation related to land tenure systems and rights. The Constitution of the Republic of Uganda and all land acts recognize and protect private land ownership as opposed to land development. These legal dynamics create complicated and multiple land tenure systems which form one of the dynamics explaining the city's unplanned urbanization (UN-Habitat, 2011). The multiplicity of the tenure systems is also highlighted as a major factor underlying such urbanisation (Mukiibi & Khayangayanga, 2014). The land tenure system legally promoted in Uganda includes the legally recognised rules of land tenure, access to land, land subdivision, land rights and their security, and land development processes (Muinde, 2013). Because ownership of most of the land in this city is *Mailo* (private) or freehold land, land owners can do whatever they want, including construction of unplanned housing and business shelters.

One of the consequences of Uganda's constitutional protection of land ownership rights is to encourage land markets based on a principle of willing seller and willing buyer (Ministry of Lands Housing and Urban Development, 2008). This principle contributes to Kampala's unplanned urbanization, because it encourages a mechanism by which some private land owners sell their land rights willingly while others do not have the will to sell as their preference is to retain their rights in the land. Those who sell cause development because their land rights are usually bought by rich investors or capitalists who can afford the high land prices in Kampala. MLHUD indicates that land buyers establish physical structures that meet their interests as capitalists and usually, without following the physical building guidelines in place. In contrast, the unsold land is left undeveloped because those who prefer to retain their land rights are usually not rich enough to develop it. The result of these dynamics is the poor spatial development of Kampala City characterised by slums for the poor and slums for the rich. The observations describe how constitutional recognition and protection of private land ownership rights leads to unplanned urbanisation in Kampala.

5.4.5 The Decentralization Policy

The aim of the decentralization policy was to enable the Local councils, elected through democratic processes, to make decisions which were devolved to the local councils. This was to promote common participatory approaches to service access. Local councils, then, became the highest authority of the local governments.

The Decentralization Policy was introduced in Uganda in the late 1980s when the government of Uganda initiated and embarked on ambitious governance reforms (Steiner, 2006). This policy had formally been inaugurated and gradually approved as the implementation body

for policies and programs of the local governments (LGs) (Ministry of Local Government, 1997). The decentralisation was backed by a number of legislative and institutional machinery.

The Town and Country Planning Act 1951 was the first Physical Planning legislation in Uganda. In 1964 this act was revised in to become the Urban Authorities Act of 1964. The latter was repealed with the inauguration of the process of decentralization. The Local Governments Act 1997 (LGA) (Ministry of Local Government, 1997) gave more powers to the local Authorities to manage the development of Urban Councils, municipalities and the Kampala City Council. It provided for the administrative structure of Local Governments and focused on urban-scale provision of services and for the decentralization and devolution of functions, powers and services to the different levels of local government (Ministry of Local Government, 1997). It responsibilities and

The Act established local governments and administrative units in Uganda and empowered them to manage the development of their respective areas of jurisdiction, resources were devolved to sub-national governments which included the district, sub-county councils and urban councils (Sabit, 2010; Elliot, 2015; Lambright, 2011). The Act granted urban authorities, local governments and administrative units' various responsibilities including the delivery of an array of public goods and services such as provision of essential social services, education and healthcare services, maintenance of street lighting and road infrastructure, provision of solid waste collection and management services, and to prepare or cause to prepare Physical Development Plans. They were also tasked to carry out land surveys, land administration and environmental management. Furthermore, the Physical Planning Act (2010) authorized these sub-national governments to deliver the goods and services through the guiding frameworks of strategic physical development plans within their respective areas of jurisdiction to ensure orderly development (Ministry of Local Government, 1997).

The local governments are responsible for planning and regulating physical development in the city, towns and other settlements that fall within their jurisdiction. MoLG is mandated by the Local Government Act 1997 to operationalize all relevant laws in place at local government level by coordinating all activities of Local Governments (Ministry of Local Government, 1997). MoLG undertakes systematic verification of adherence to established legal and policy frameworks, regulations, guidelines, procedures, and rules to ensure efficiency and effectiveness in the operations of Urban LGs. The Ministry of Local Government has programs relevant to public space and land management, including good governance, decentralization, community development, local finance, local economic development and social protection (Ministry of Local Government, 1997)

The decentralization policy faced many challenges. Firstly, the local administrative and technical capacity was weak resulting to inefficiency and ineffectiveness in service provision. This was partly attributable to insufficient economic resources or unequal supply of resources to accomplish innovative local tasks, especially in the beginning when mostly needed (Sharma, 2009). Secondly, although some functions and powers were devolved to local governments, the basic goals of decentralization appeared to be elusive. This is because there was less support of the role of communities in mobilizing funds for the development of the locals, demanding leadership accountability, participatory planning, and making choices of their leadership without being arm-twisted by the local elites during elections (Steiner, 2006).

Attempts were made to involve citizens in matters that affect them but these were usually far apart consultative meetings which in the long run only benefited the local authorities and denied the citizens the right to be heard (Onyach-Olaa, 2003). Participation of citizens in development matters in Uganda was more towards politics than performance. Majority of residents vote their leaders into office and do not follow up on delivery of promises. Similarly, the media focused mostly on the political arena. This negatively impacted on the decision making

of the local authorities by creating a passivity on developmental matters (Kugonza & Mukobi, 2016). Local authorities, likewise, preferred to be active in politics hence neglecting their responsibility to the residents of their locality.

5.4.6 The National Slum Upgrading Strategy and Action Plan

The National Slum Upgrading Strategy and Action Plan was formulated to provide a framework, direction and plan to all stakeholders: government, urban authorities, NGOs and CBOs to enable them to individually contribute towards achieving the government's targets on how to uplift the lives of at least one million slum dwellers by 2020 (Alfred, 2011). The strategy adopted the model of dealing with the underlying causes of urban poverty while empowering the local government, eliciting participation from slum dwellers and enhanced partnerships between public, private and the community.

A number of actors have been involved in the urbanization process through its role in the built environment. This includes the provision of building materials and construction and rehabilitation of public infrastructure and private assets. The private sector has been an important factor bringing human, technical and financial resources to complement government activities. This sector has the capacity to partner with, fund, and maintain projects in the municipalities on mutual terms. Sector partners include the Private Sector Foundation Uganda (PSFU), real estate developers, Uganda Manufacturers Association (UMA), financial institutions and associations of professional bodies.

Further, several multinational and bilateral development agencies continue to provide financial and technical assistance to Uganda's urban development sector. Key among these is the World Bank (WB) which is currently supporting two major initiatives: (i) the Competitive and Enterprise Development Project (CEDP) and (ii) the Uganda Support Municipal Infrastructure Development (USMID) program. The Cities Alliance (CA) has also created a

framework to align urban development efforts and enhance cooperation among partners who include national and local governments, urban poor communities in Uganda through the Transforming Settlements of the Urban Poor in Uganda (TSUPU) (Cities Alliance, 2011). Uganda is among eight countries in Africa that benefited from CA support to become better future-proof to climate, environment and natural resource challenges. The CA aims at cities' inclusivity and resilience to achieve sustainable economic growth. Cities Alliances and UN-Habitat supported the implementation of the Social Tenure Domain Model (STDm) tool to address the land tenure issues in the slums across five secondary cities: Mbale, Masaka, Entebbe and Tororo.

Other notable development partners that are supporting urban development related initiatives include United Nations (UN) in Uganda, particularly the United Nations Development Programme (UNDP), United Nations Capital Development Fund (UNCDF) and UN-Habitat; the European Commission (EC); the UK Department for International Development (DFID); and the African Development Bank (AfDB).

Community Service Organizations (CSOs) play an important advocacy and accountability role in public space and land management. CSOs such as ACTogether and other member's associations of the National Slum Dwellers Federation (NSDF) have been instrumental in helping the poor and other socially vulnerable groups (e.g. women and children), exercise their social, economic and political rights through advocacy, providing legal aid and lobbying the government for legislative change. They are uniquely situated to develop activities and help the government in its development efforts. ACTOGETHER, an independent Uganda support NGO, affiliated to shack/slum dwellers international (SDI) was established in September 2006. It works with the slum dweller communities together with the National Slum Dwellers Federation of Uganda, a member of SDI, in the areas of support to community-led savings and loan groups, community exchanges, house model exhibitions, slum upgrading pilot projects, advocating for

the rights and voice of the urban poor and progressive pro-poor land and housing reforms (Cities Alliance, 2011).

The Ugandan government in collaboration with NGOs, CBOs and CSOs has also carried out several activities to help communities access services and strengthen their competencies in dealing with a growing scale of urban problems, such as provision of credit to fight poverty, support livelihoods, HIV/AIDS, etc. Working with CSOs fosters social inclusion, celebrates multiculturalism, and enables creation of rich, vibrant spaces in the urban commons thus facilitating social mix with access to public spaces for all (Cities Alliance, 2011).

Cultural Institutions and leaders who are recognized by the constitution play an important role in the country's urban development and, in particular, promoting safe, inclusive, accessible, green, and quality public spaces. Most of the cultural institutions whose influence in the municipality is enormous are big and powerful landlords (Mailo, Freehold and Communal Land) such as the Kabaka in Kampala and the Umukuuka in Mbale.

Both the mainstream religious faiths and the numerous evangelical faiths are important stakeholders in urban development given their extensive land and property assets that they own. FBIs act as landowners, property developers and opinion leaders in urban areas of the country and therefore big stakeholders in provision of public space and land management. They have capacity to create, revitalize, protect, manage, including participatory processes to define their use and access to public spaces and land (Haynes, 2007).

The public constitutes mainly potential developers and residents of different towns. These potential developers must ensure that developments they undertake are in line with the approved PDPs and development permission given by the physical planning committees. The town and city residents, on the other hand, participate in planning activities through attending sensitization meetings, commenting on draft plans before approval, furnishing the planning authority with

public planning expectations, and expecting well-planned and well-developed neighbourhoods, towns, and cities (National Planning Authority, 2002)

5.4.7 The Ugandan National Urban Policy (UNUP)

This section examines Ugandan planning policy and assesses, firstly, if it has been appropriately scaled down from the international level to the local level; secondly, whether it is supported by appropriate legislative frameworks and institutional frameworks and thirdly, the effectiveness of the efforts of the Mbale Municipality in the implementation of the approved physical development plans (PDPs) down to Namatala slum level.

An important policy context of the National Physical Development Plan was the National Urban Policy (NUP). This was a coherent set of decisions derived through a deliberate government-led process of coordinating and rallying various actors for a common vision and goal that would promote long-term transformative, productive, inclusive and resilient urban development (Brown , 2012).

The national urban policy was in response to the challenges posed by the rapid rate of urbanization in Uganda in the administrative, political, and welfare spheres. The objectives of this policy were broad, with different stakeholders and partners emphasizing competing priorities (Brown, 2012). These included providing a framework and guide for organized urban development in Uganda, transforming informal settlements by mobilizing the energies and local knowledge of slum dwellers and “promoting livable urban areas that are organized, inclusive, productive and sustainable” (National Planning Authority, 2017).

The NUP further addressed urban governance, environmental quality, and effective urban planning and management to curtail urban sprawling. The policy outlined measures to address accessibility to efficient urban infrastructure and service delivery, safety and security in urban

areas, promotion of urban economic development with emphasis on local economic and informal sector development as well as strengthening urban financial management to improve competitiveness and productivity of the urban economy

Much of the UNUP was centered on providing an improved administrative and legal environment for urban planning to support economic growth. For the UNUP to have the capacity to meaningfully respond to the needs of the urban poor, it required to (i) be embedded in a participatory framework, (ii) entail government support for a pro-poor focus, and (iii) demonstrate sustainability in terms of financial support and promoting sustainable urban development. These three factors draw attention to the central relationship between national policy, ownership and capacity. Overall success of the principles of UNUP depend on the strength of political will and the effectiveness of the coordination mechanisms that align different department functions, given the scattered urban responsibilities across government (Lall, et al., 2008).

Uganda released its first National Urban Policy (NUP) in 2013. This policy was prepared in tandem with, and as a part of a wider Uganda urban campaign, launched in 2010, to raise the profile of the government's attention to urban planning (Bidandi, 2017). In addition to the development of the NUP the campaign advanced four additional components. The New Urban Agenda was an outcome of the third United Nations Conference on Housing and Sustainable Urban Development (Habitat III) of 2016. Here, national urban policies were seen as key opportunities to establish a connection between the dynamics of urbanization and the overall process of national development for the next 20 years (UN-HABITAT, 2017). The Ugandan National Urban Policy was prepared in tandem with, and as a part of a wider Uganda urban campaign, launched in 2010, to raise the profile of the government's attention to urban planning (Bidandi, 2017).

The 2010 MLHUD embarked on the process of formulating a NUP, assisted by Cities Alliance who provided a grant of USD 450,000 to support the endeavor. Further, an Urban Sector Strategic Plan was prepared to guide the implementation of the Policy (National Planning Authority, 2017). The UNUP was formulated bearing in mind the principle of subsidiarity which states that people closest to a given problem are the ones with the strongest moral claim and conviction to finding a solution. Therefore, the role of the state in empowering the individual by providing the necessary conditions for the individual to prosper was emphasized in the UNUP (King, 2014). Uganda released its first National Urban Policy (NUP) in 2013.

In addition to the development of the NUP the campaign advanced four additional components. First, the National Urban Forum (NUF) was created as a permanent body to represent and draw on the voices of a variety of stakeholders such as NGOs, CBOs, the academic community, the private sector and different levels of government. Second, the Transforming the Settlements for the Urban Poor in Uganda (TSUPU) program was formed to target Uganda's secondary cities with an aim of aligning urban development efforts at the national government, local government and community levels and to include the urban poor in the planning and decision-making processes. Third, the Strategic Urban Development Plan (SUDP) outlined the specific courses of action to be taken over a 15-year period. Finally, the Urban Sector Profiling Study (USPS) functioned as a housing sector assessment tool. These programs were to start with five secondary cities of Arua, Jinja, Mbale, Mbarara and Kabale and then roll out to the rest of the cities in Uganda (Bidandi, 2017).

The UNUP has been ineffective in addressing the needs of slum dwellers, especially in ensuring that their participatory process is genuinely representative, this is mainly because legislators of rural spaces view urban policy as a threat to their areas. Brown (2012, 2013) analyses Uganda's urban policy with emphasis on Kampala from two different perspectives. In the first perspective, Brown (2012) observes that the planning of the National Urban Policy for

Uganda (UNUP) does not pay attention to full participation of the different key stakeholders, including NGOs, CBOs, the academic community, the private sector, and the different levels of government. He argues that these are vital dynamics that could have been considered and understood in order to ensure that Kampala urbanises in a systematic manner. Essentially, Brown's argument indicates that planning & National Urban Policy are not catered for in a manner that would have enabled the UNUP to be effective in guiding Kampala's urbanisation in a planned manner (Brown, 2013).

5.4.8 Uganda Vision 2040

Uganda Vision 2040 was the overall policy blueprint for the economic and social development of the country. Recognizing the need for policy reforms and appropriate strategies in the lands, housing, and the urban development sectors, it aimed at providing a comprehensive framework to operationalize Uganda's Vision statement as approved by Cabinet in 2007, "A transformed Ugandan society from a peasant society to a modern and prosperous country within 30 years".

Uganda Vision 2040 was launched in 2013 (National Planning Authority, 2013). Although it was not based on any coherent spatial plans, it made several spatial proposals. For instance, it noted that Uganda's level of urbanization in 2013 was about 15%, with Greater Kampala Metropolitan Area (GKMA) contributing up to 10% (National Planning Authority, 2013). It envisaged that over the vision period, four additional regional cities would be established, namely Gulu, Mbale, Mbarara and Arua while other strategic cities would include: Hoima (oil), Nakasongola (industrial), Fort Portal (tourism), Moroto (mining) and Jinja (industrial). In addition, other emerging urban centres that met the criteria for city status would be considered. It identified ten cities as growth poles: the aforementioned five regional cities and five strategic

cities. While the NPDP recognised the strategic importance of these cities, options were considered that each represent a different pattern for the growth poles and the other urban centres that were developed as the basis for the overall NPDP.

As per this strategic view, Vision 2040 positioned the country to harness different resources with the aim of promoting both regional and national development. Vision 2040 recognized the fundamental role land plays in Government's desire to harness the nation's strategic opportunities for maximizing returns to the economy. It thus stated that a National Spatial Plan would be developed to facilitate public policy and actions that would influence the geographical location of projects in economically viable areas and help achieve organized, equitable, sustainable, efficient and cost-effective development. In this respect it was necessary to secure land for streets and public spaces as well as public infrastructure networks to ensure adequate public space in planned city extensions and planned city in-fills (National Planning Authority, 2013). Findings highlighted in chapter four show that very little is being realized on the ground in the slum environment of Namatala. This plan was a top-down sector plan, ignoring local participation.

5.4.9 National Development Plans

Between the early 1970s and the 1990s, the status of physical planning waned in the face of the scale of unplanned urbanization, informal settlement and slum growth that followed. Though physical planning in Uganda had come a long way since the early 1990s, the lack of a national level physical plan remained to be sorted out (Busingye, 2002). After the turmoil experienced by the country from 1971 to 1986, a new phase of re-organization of physical planning in Uganda began. There was need for a National Physical Development Plan (NPDP) to provide a framework for development of land uses. The preparation of a national physical development

plan was seen as a key part of the establishment of an effective land use planning system, one which should boost the systematic preparation of Physical Plans at other levels for the whole country (National Planning Authority, 2017). This conformed to the Uganda Vision 2040.

The National Development Plan (NDPII) 2015/16-2019/20 was the second of Uganda's five-year development plan. It aimed at contributing towards the achievement of Uganda Vision 2040 (National Planning Authority, 2017). The goal of NDPII was to strengthen sustainable wealth creation, employment, and inclusive growth so that the country could achieve middle income status by 2020, with urbanization seen as a key player in the process. NDPII entailed implementation of the Spatial Frameworks for arrangement and organization of socio-economic activities on land at the Municipalities to achieve optimal use of land and sustainable development. According to this plan, land is a major vehicle for streamlining the country's vision and spatial framework (National Planning Authority, 2017). It recognized the critical role of government and local governments to create, revitalize, manage, and protect public land through participatory processes.

This new phase of entailed the enactment of The Physical Planning Act (PPA) 2010 and a number of institutions to oversee this new phase. The Physical Planning Act (PPA) was not only the principal statute governing physical planning in Uganda but also a legal framework for physical development planning. It was intended for promoting orderly and sustainable development of human settlements in rural and urban areas. It entailed the organization of land use to enjoy the highest achievable degree of efficiency of resource utilization, functionality of places and aesthetic quality" (Brown, 2013).

The purpose of the PPA was "to create and maintain a framework for a more balanced spatial development countrywide through a rational arrangement of land use, protection of the environment and alignment of the land uses with long-term government objectives for sustainable economic and social development". The PPA authorized the sub-national

governments to deliver goods and services through the guiding frameworks of strategic physical development plans within their respective areas of jurisdiction to ensure orderly development. It further dealt with infrastructure, environmental protection, natural resource management, urbanization, human settlements conservation, tourism and other purposes.

The Physical Planning Authority (PPA) established Physical Planning Committees (PPCs) at Local Government level. The PPA (Section 11) stipulated that each urban authority or city would establish an urban physical planning committee. These included the Urban and Divisional Physical Planning Committees for all urban areas (Cities/Municipalities/Town Councils) (National Planning Authority, 2007). The Local Government level physical planning, the Physical Planning Committees (PPCs), were set up to be major vehicles for institutionalizing and streamlining physical planning as a decentralized function in line with the Local Government Act and the PPA. Local Government Physical Planning committees are subordinate to the NPPB. These include the Municipal Physical Planning Committees and Divisional Physical Planning Committees (Ministry of Local Government, 1997). Although the Physical Planning Committees were mandated to undertake all the planning for the municipality, the District Land Boards and the Uganda Land Commission were charged with the management of public land in these areas. This, therefore, called for coordination mechanisms among the Physical Planning Committees on one hand and the District Land Boards and Uganda Land Commission on the other.

The District Land Board was to have a member representing urban authorities to ensure that the interests of the urban authorities were represented during decisions of the District Land Boards. As a way of further harmonizing the planning decisions and ensuring coordination, Section 51 of the Physical Planning Act forbade the subdivision and consolidation of land as well as the renewal or extension of leases by the District Land Boards without approval by the relevant authorities.

The National Physical Planning Board (NPPB), a corporate body replacing the former Town and County Planning Board, was established under the Physical Planning Act 2010 Section 4 Part 2, making it the supreme physical planning body (Brown, 2013). Given the wide range of responsibilities, the board had a very critical role to play in ensuring that issues of urban public spaces and land were an integral part of the development planning in the municipalities. The NPPB was responsible for advising government on all matters relating to physical planning, hearing, and determining appeals lodged by aggrieved persons and local governments, studying and giving guidance and recommendations on issues relating to physical planning transcending more than one local government, and approving regional, urban and district physical development plans.

The municipal Physical Planning Committees which were made responsible for causing the preparation and detailing of physical development plans, approval of development applications, conducting development control activities (supervision and enforcement) and recommending to the NPPB changes in land use for approval constitute technical officers from the Municipality. The Committee is chaired by the Town clerk with the Physical Planner as its Secretary. Other members of the committee are Municipal engineer, Municipal Environmental Officer, and the Municipal Health Inspector. The committee also has a physical planner, in private practice, an architect, and land surveyor.

The Division Physical Planning Committees advise the Municipal Physical Planning Committee on land uses in the divisions before approval of the development application and ensure that developments in the divisions are undertaken according to approved PDPs through supervision, monitoring and regular inspections (Ministry of Local Government, 1997).

All Urban Councils (City/ Municipal/ Town Councils) were required to establish Urban Physical Planning Committees in accordance with Section 11 of the PPA. The composition of the Urban Physical Planning Committee includes the Town Clerk, Physical Planner, and other

professionals. Among other responsibilities, Urban Physical Planning Committees are mandated to ensure the preparation of relevant physical development plans for their cities, municipalities, or towns in which public space is an integral land use component. They also receive and consider (approve, defer, or reject) development applications; hear and determine appeals against decisions made by the Urban Physical Planner or subordinate local authorities and ensure that the urban 5-year rolling development plan implements the urban physical development plan and vice versa (National Planning Authority, 2017).

The National Physical Planning Standards and Guidelines, 2011, were developed by the MLHUD (2011a) with intent to provide criteria for determining the scale, location and site requirements of various land uses and facilities. The planning standards aimed at the allocation of scarce land and financial resources. They were to realise this purpose by ensuring: equitable and balanced spatial distribution of development; orderly, efficient and coordinated spatial socioeconomic development; facilitating equitable distribution of services; integration of the functions of rural and urban settlements; and optimum use of land for agriculture, forestry, industry, human settlements, infrastructure and other competing land uses.

The guidelines spelt out the standards of plot size and structure, materials, landscaping, parking space, access road, access to utilities and ancillary uses, ventilation, and other aspects that should be observed when putting up any physical developments, be it residential, hostel, commercial and factory. While the guidelines recognized that attention should be given to the consensus of the various stakeholders involved in approving, monitoring and enforcing development control, they did not specify the kind and level of consensus that should be allowed. This was a critical weakness as any physical development can be put up in total violation of the very standards the guidelines were intended to promote (National Planning Authority, 2017).

There are no measurable indicators on ground to show that slum residents are benefiting from these initiatives. The review of The Physical Planning Act, 2010 indicates that its main purpose is to guide, streamline and control all the physical developments that take place in Uganda, particularly in urban areas. However, the implementation framework prescribed for this Act is so elaborate that it is sometimes difficult to put it into practice. The implementation committee prescribed by this Act has to have the Executive Director as the chair, directors of physical planning, public health, engineering and technical services, education and social services, and gender and community services. Others are deputy director of public health, deputy director production and marketing, roads and manager surveying and all the Town clerks of all the divisions that make the city. This is an unnecessarily big committee, which makes realisation of its quorum often difficult (Bidandi & Williams, 2017).

Implementation of those plans has not been effective due to the rapid rate of urbanization, inadequate revenue bases and lack of a clear, planned overall physical framework at national level. Development projects, particularly in infrastructure and services, have been hampered by little attention by way of planning and management being accorded to the country's urban sector and to the fact that large investments tend to be shaped by the availability of development finance and loans from international development banks. Policies and investments are influenced by the priorities of donors, rather than those identified by stakeholders (OECD, 2007; Okuonzi & Macrae, 1996). Further, investments are directed by 'projects' rather than by 'planning'.

5.4.10 National Housing policy

In 1978, the government of Uganda attempted to draft a comprehensive National Housing policy, which the 1979 new regime disregarded. Instead, the government after the 1979 war pursued interventions to further improve the social-economic status of its citizens (Mukiibi &

Khayangayanga, 2014). The interventions were mainly aimed at improving access to infrastructural services and to provide adequate residential land and plots in urban areas. The emphasis was the provision of housing to the low-income people and the upgrading of the housing conditions in the slum areas. These interventions were implemented through two projects: the upgrading of Namuwongo low-cost housing in Kampala and the Masese Women's Self-Help housing projects in Jinja (Mukiibi & Khayangayanga, 2014). Unfortunately, these efforts were short-term as the land tenure system and the subsequent fall of the economy in the 1970s and 1980s marked a decline in the government's central role in the provision of decent housing and promoting housing investment until the 1990s.

The National Housing Policy aimed at the delivery of adequate housing for all. It recognized the role of housing in the social economic transformation and development of the country as an indicator of growth and development. In policy Statement 5, the policy seeks to establish a mechanism for delivery of affordable and sustainable infrastructure services to support housing development. It therefore emphasizes the need for basic infrastructure services associated with housing, including access roads, water and sanitation, drainage systems, waste management, energy and telecommunication (Ministry of Lands Housing and Urban development, 2003)The policy notes that properly serviced areas attract housing investments much faster and greatly improves economic welfare, and the quality of life of the residents of a given area but such good dreams have never been implemented to better the lives of the people living in slums.

The Ministry of Lands, Housing and Urban Development (MLHUD) is the physical planning, urban development, and land management sector leader in Uganda. Its main responsibility is physical planning (National Planning Authority, 2007)(. The mandate of the Ministry is "policy making, standards setting, national planning, regulation, coordination, inspection, monitoring and back-up technical support relating to lands, housing, and urban

development. They are also tasked with promoting and fostering sustainable human settlement and managing works on government buildings in the country.

Table 0-1 Policy, Legislative and institutional framework for Planning in Uganda

Policy Framework	Legislative Framework	Institutional Framework
Comprehensive National Development Planning Framework (CNDPF) Policy	Constitution of the Republic of Uganda of 1995	The National Government
The National Land Policy	Land Act-1995/1998	Ministry of Lands and Natural Resources
The Decentralization Policy	Local Governments Act (LGA) 1997	Ministry of Local Government (MoLG)
The National Urban Policy (NUP)	National Planning Authority Act, 2002	Ministry of Local Government
The National Slum Upgrading Strategy and Action Plan	National Planning Authority Act, 2002	Private Sector Development Partners
Uganda Vision 2040	National Planning Authority Act, 2002	National Planning Authority
National Development Plan 11 (2015/16 – 2019/20) (NDPII)	National Planning Authority Act, 2002	National Planning Authority (NPA)
National Physical Development Plan 2019-2040	Physical Planning Act (PPA) 2010	Physical Planning Authority (PPA) National Physical Planning Board (NPPB) Physical Planning Committees (PPCs) Urban Physical Planning Committees
National Housing policy	Physical Planning Act (PPA) 2010	Ministry of lands, Housing and Urban development

Source: Researcher 2018

The Ministry is responsible for providing policy direction, national standards, and coordination inter alia on all matters concerning Lands, Housing and Urban Development. The Ministry is also responsible for reviewing and putting in place policies and laws to ensure

sustainable land management, promote sustainable housing for all and foster orderly, urban development in the country it is also responsible for implementing the NUP.

The role of government is that of enabler, co-coordinator, and regulator of all the stakeholders by providing the legal, fiscal, and regulatory framework required to mobilize energies and resources while playing a facilitating role. This includes removing policy, institutional and regulatory obstacles to efficient delivery of urban basic services. Government must guide development and the deployment of public sector resources to planning, research, provision of infrastructure and human resource development (Robinson, 2007). It must encourage other actors' initiatives aimed at improvement of service delivery. Central government monitors the outcomes of government-financed projects to ensure that funds have been well used. The subsequent subsection engages with key national level actors involved in conceiving, formulating, implementing and protection of urban public place and land management.

5.6 Mbale Local Policy

5.6.1 Introduction

From the foregoing analysis of Uganda's planning framework, it is clear that the Ugandan Government has made steps into developing policy, legislative and institutional framework for planning (Table 5-1). Whether the place specific policies have been implemented and applied in Mbale in general and Namatala in particular is the main objective of this section. The main policies affecting Mbale local government and in turn, slum dwellers in Namatala are the decentralization policy, land policy, urbanization policy (infrastructure) and the housing policy (shelter) (Fouka & Marianna, 2011).

This section looks at a summary of those policies, how they are being implemented and assesses how these policies apply to Mbale district in general and Namatala slum in particular,

including an assessment of the effectiveness of governance and of the delivery of policy using the results. Firstly, it examines the policies at the local level and assesses the effectiveness of the Mbale local government policy delivery from the results of the policy documents analysis. Secondly, it examines the contribution of the local community through community-based organisations and the third sector groups in the implementation of local urban policies and how these actors coordinate with the Mbale local government. This is obtained from the results of the community and capacity audit. The interviews with the representatives of Mbale Municipal Council were centred on policy legislative and institutional frameworks at play in Namatala and triangulated with the policy document analysis. Policy issues as they relate to the economic, partnerships, slum and community participation were investigated and compared available literature and to how they relate to the general cultural and historical aspects of the community. To corroborate the findings obtained from the selected city residents, further effort was made to interview the selected key informants about the formal dynamics that explains

5.6.2 The Decentralization Policy

The main spatial planning policy affecting the local Mbale government is the decentralization policy of the late 1980s (Onyach-Olaa, 2003). This policy was formally inaugurated in 1992 in Uganda and gradually approved as the implementation body for policies and programs of the local governments (LGs). The 1995 Constitution, gave the Lower Local Governments (LGs) authority to make and implement decisions affecting their municipalities. This led to the devolution of decisions to the local councils, which then became the highest authority of LGs (Sharma, 2009). In Mbale, a number of regulatory frameworks have been put in place to regulate the administration and management of the Municipality. The main laws are the 1995 Constitution of the Republic of Uganda, the 1997 Local Government Act and other Laws and the By-laws to govern the municipality. Mbale Municipal Council has developed a

Strategic Framework for Service Delivery (Client's Charter) which includes its vision, mission, other core values, and strategic goals (Mbale Municipal Council, 2015). The local councils elected through processes that are democratic, can make decisions as they devolved to the local councils, which then become the highest authority of LGs, aimed at promoting a common participatory approaches to accessing service.

The decentralization policy aims at promoting common participatory approaches to accessing services (Onyach-Olaa, 2003). The Community Development Officer summarized the role of the local government as follows;

..., we work under the decentralized system of governance where the municipal council is mandated to ensure that issues of sanitation and hygiene are improved, we have our own environmental health officers who actually traverse those places to educate people on the importance of having latrines and toilets then also ensuring that they observe hygiene, then we also advice people to follow the right procedures when constructing houses through visiting our physical planning office. The challenge is that we are financially and human resource strained and therefore unable to reach to all people. That's the challenges so you find that those who want and can afford the service come to us, those ones who without the financial ability and those who feel they can go the way they want, make mistakes and live with them (MMC Environmental Office: Source researcher interview 16th March 2018).

However, decentralization is encompassed with challenges that hinder its achievement and these are: weak local administrative and technical capacity, resulting in inefficiency and ineffectiveness in service provision; insufficient economic resources accessible to accomplish innovative local tasks, especially in the beginning when they are mostly needed; or unequal supply of resources (Sharma, 2009). In the interviews the community development officer in regards to the government approach to community participation in policy implementation, pointed out that:

The government relays policies to the community to ensure that there is participatory planning. The community participate in planning by identifying their problems, which are generated at the grass roots. These problems are then integrated in our plan for purposes of resource provision' (Mbale Municipal community development officer 13th March 2018)

The Community Development Officer concurred with the government's approach to community participation in policy implementation. Commenting on the government's plan in line with decentralization they outlined the role of the community and the process of public participation in Mbale as follows:

They tell us which area needs a road, a toilet facility, water and sanitation, or proper drainage system and all these are captured in our plans for purposes of resource provision. (Mbale Municipal Community Development Officer. Source: Researcher Interviews 16th March 2018)

Besides the identification of planning needs by the local community, the Community Development Officer identified the critical role played by the third sector as follows:

We were able to get support from cities alliance through 'Transforming Settlements of Urban People in Uganda' (TSUPU). Some slums have also benefited in terms of improving infrastructural projects like road network, water and sanitation, drainage system... we also had several projects implemented in the slum. So we believe with the success stories we have registered we will be able to talk about them and attract more money because not all slums were able to implement 100% what their proposals were. (Mbale Municipal Community Development Officer Source: Researcher Interviews 16th March 2018).

According to the Community Development Officer, the local government works with the government sectors and also relies on other government Acts such as the Physical Planning and Public Health Act to implement their policies. The Municipal Economic Planner, for instance, observed that the MLG have not formulated their own local policies since 2004:

We have not made a district development plan for a long time. The 2004 plan was the last that was prepared. We are in the process of making one (Mbale Municipal Community Development Officer Source: Researcher Interviews 16th March 2018).

Although some functions and powers are devolved to local governments, the basic goals of decentralization appear to be unattainable. This is because of a number of challenges. First, the role of communities in mobilizing funds for the development of the locals lacks support. The locals are unable to demand leadership accountability, participate in planning, and choose their leaders without manipulation by the local elites during elections (Onyach-Olaa, 2003).

Amidst the changes there is still a lot to be done on the part of the government using participatory approaches in working with the locals and the third sector group for greater

development so as to have a transformational impact to the residents of Namatala. (MDF Chairperson Mbale Municipal Council: Researcher Interviews 16th March 2018).

To solve this problem the government of Uganda implemented the Local Government Development Program (LGDP) between 2000 and 2004 (MoLG, 2004). Decentralization has, however, registered some degree of achievement. For instance, decentralization of financial and administrative activities has taken place, and as a result, both the elected and appointed staff are easily monitored and are held accountable to the local people. In an interview with the Mbale Municipal Development Forum, the chair had this to say:

.....Every division has a ward in the three divisions the leaders in those wards form committees that generate reports from every cell. These reports are submitted to the ward committee. Each ward committee is mandated to see how they can consolidate their issues in the plans of the divisions when they are called and then those plans are also integrated in our plan so we have all those committees. (MDF Chair Mbale: Researcher Interviews 16th March 2018).

5.6.3 The Local Government Development Program (LGDP)

The main aim of the LGDP was to enhance participatory local development planning with a people-centred approach in decision-making (Lwasa, 2015). The LGDP was designed to scale up an earlier UN Capital Development Fund pilot to 30 districts in Uganda with an aim of testing policies and principles on a larger scale, and to use the lessons learned to develop national policy, to test and institute alternative service delivery mechanisms through the private sector, and to monitor and evaluate project implementation for strategy formulation (MoLG, 2004). The emphasis was in line with the subsidiarity principle to involve all.

Secondly, it has been difficult for the local authority to collect and manage local revenue as a result of conflicting regulatory powers between the Council and other power centres, which includes Ministers, Inspector General of Government, Mbale Municipal Council, Division Councils, Resident District Commissioner (RDC), and the Local District Council (Political

Pronouncements) that also license business activities (Lwasa, 2015). Thirdly, there is some element of political meddling in development and technical matters, particularly from the Central Government. This acts as an obstruction to the development process of the town and its surrounding. Fourthly the inadequacy of human resources has had a great impact on the operation of municipal activities, rendering some departments non-functional. This makes the general performance of the Municipal Council ineffective. Fifthly there has been lack of transparency especially during the process of activity implementation. Sometimes the public is not informed on what types of funds are available and for what purpose (Lwasa & Kadilo, 2010).

The government of Uganda implemented the Local Government Development Program (LGDP) between 2000 and 2009, and its main aim was to enhance participatory local development planning with a people-centred approach in decision-making (Lwasa, 2015). The Uganda Local Government Association and Association of Uganda Urban Authorities ensure that the demands of Local Governments are adequately addressed (Cities Alliance, 2018). The National Water and Sewerage Corporation handles the provision of piped water and sewerage disposal systems. The Municipal Authority, in partnership with the National Environmental Management Authority (NEMA) has initiated a Clean Development Mechanism (CDM) which involves composting biodegradable solid waste to control the emission of greenhouse gases (UN-Habitat, 2012). This has created employment through the Clean Development Mechanism Project where the local residents have been employed in the waste composting plant.

Environmental office

Skills and knowledge have been attained through capacity building where members of staff are trained in line with their relevant departments. However, the Municipality is faced with challenges such as shortage of testing kits for water and transport, the sewerage network is inadequate making solid waste management a major challenge in the town and residential areas

of Mbale; Street lighting is inadequate and the road network is poorly maintained (UN-Habitat, 2011).



Figure 0-1 Mbale Municipal Composting plant. Source: Mbale Municipal

5.6.4 Mbale Municipal Council Development Plan

The purpose of planning is to formulate programs of action that will influence on-going development processes or will start new ones which will change the existing situation in such a way that at the end of the plan period a situation is reached that agree with the goals that were set at the time the plan was made. Mbale Municipal Local Government Council 2015/2016 - 2019/20 Five Year Plan (Mbale Municipal Council, 2015) was integrated to include the plans of the four Division Councils of Central, Northern, Wanale and Industrial, because as an urban authority, the Municipal Council is responsible for setting overall standards, monitoring and supervision of Division activities, and it takes into consideration the National and the District priority planning areas. In line with the National Development Plan objectives (Uganda Government, 2015), the objectives of the 5 Year Development Plan 2015/16 – 2019/20 was to provide strategic directions that would promote growth, employment, create wealth and reduce

poverty disparities in the people of Mbale Municipality. However, the inability of the municipalities to prepare, implement, monitor, and enforce their development plans has resulted in encroachments on public spaces by private developers, environmental degradation, poor basic infrastructure and social services, inefficient use of land resources, inequality in resource allocation leading to neglect of women, youth and other vulnerable groups including slum dwellers.

Local governments are often under-resourced in terms of technical staff as well as municipal budgets, including staff who would be responsible for data collection and planning (Republic of Uganda, 2016). This means that there is limited capacity at the sub-national level to generate the evidence needed by decision-makers and that plans, where they do exist, are based on out-of-date data. The government has tried to mitigate this by engaging partners to engage in some activities as highlighted by the economic town planner in an interview:

Mbale municipal council does not work alone, we have NGOs that actually offer services that are a replica of the services Mbale municipal offers, so if they have the capacity and they have the resources, sometimes they help us to fill that void. They have been helping us along that line so we partner with them. Sometimes they deploy their staff at our health unit, sometimes their staff come here and move with our people to Namatala to sensitize the people so they kind of fill the vacuum (Mbale Municipal Town Planner 13th March 2018).

An All-inclusive National Development Planning Framework (CNDPF) was introduced in 2007 and numerous changes were effected in the planning system (Government of Uganda, 2007). The changes brought a mentality shift from a needs-based approach to a proactive vision-based planning approach. In addition, there were other changes which included the vision 2040, Ugandan development plan and the National Development Plan. In view of decentralization, the emphasis that emerged was of Public Private Partnerships (PPPs) in planning the Local Economic Development (LED) which was taken as a key pillar to decentralization therefore stressing the need to providing satisfactory participation of non-state actors in the planning and budgeting processes (Kugonza & Mukobi, 2016).

The absence of realistic plans, or the inability to implement them when they do exist, creates a vacuum in which other actors initiate projects (Kugonza & Mukobi, 2016). The physical planner made the following remarks:

Every ten years the municipal council comes up with a new physical planning program and you find that the physical planning structure of maybe 20 years back is not the same as now, there are always those changes that keep coming up depending on the dynamics and the trends that go on and right now, with issues of climate change there are lots of changes. (Mbale Municipal Physical Planner: Source researcher: interviews 13th March 2018)

As a result of this type of planning policy that is dependent on the government of the time every five years, implementation becomes difficult and plans are often not followed through to the implementation stage. The government of the time also apportions resources relating to their political agenda which mostly is dependent on the party in place.

With support from Cities Alliance and UN-Habitat, ACTogether, Slum Dwellers International, the National Slum Dwellers Federation of Uganda and Transforming Settlements of the Urban Poor in Uganda (TSUPU) program, the Government of Uganda mobilized communities in slums to participate in slum profiling and enumeration (Cities Alliance, 2011). The issues identified during the profiling were prioritized for implementation. Communities lobbied for support from the government through Uganda Support to Municipal Infrastructural development (USMID), a 6-years' World Bank and government partnership program spearheading implementation of infrastructure development in urban poor areas in fourteen cities. The environment officer also said:

There are plans actually there is this project under slum dwellers international where they did profiling of the slums within the municipality Namatala inclusive and when they profiled, we came up with what needs to be done and all that so, we are soliciting for funding to see that we upgrade Namatala (Environment officer MMC 16th March 2018).

The acting Economic planner had this to say:

Economic activities are changing slightly but not measurable enough to cause a drastic impact, but we have actually seen a few more changes especially in the infrastructural sector where the World Bank came in through the Ministry of lands

housing and urban development and improved on our road network, now, we have more roads that have been brought on board. So we hope that when these infrastructure are improved we shall actually have an economic growth (MMC Economic planner 13th March 2018).

However, rapid urbanization puts huge demands on infrastructure, services and job creation.

The Deputy Town Clerk observed the following:

In 1993 the structural adjustment program of the World Bank led to the government disposing off to individuals almost all of the national assets. Economic and social programs were also privatized. As a result many of the housing estates within the municipal council that the government intended to provide affordable housing to the people are privately owned and outside the governments jurisdiction. The governments' only alternative is to provide an enabling environment for the private sector to develop their own houses and let the market dictate the prices (Deputy town clerk MMC 13th March 2018).

5.6.5 Mbale Housing Policy

The key challenges faced by the inhabitants of Mbale Municipality include the increase of informal settlements, disorganized land records, un-serviced land, land tenures systems that are poor, planning structures that are outdated, external interference from politicians in decision making, laws that are out dated, high urban population and inadequate human resources (UN-Habitat, 2012). Mbale Municipality is characterized by high levels of poverty, poor and illegally constructed housing structures, overcrowding, poor sanitation, and inadequate basic services delivery. Notable slum areas in Mbale include; Kikamba, Barracks, Mutukula, Kiteso, Bulago, Bujoloto cells, Kiduda, Kikarimojong, Sisye and Mvule wards. More than 39,000 people are estimated to be living in these slums which occupy more than 335 acres of land (Uganda Government, 2015). In concurrence with the situation in Mbale, the planner observed that;

In Namatala, we have both organized homes and shanties or ramshackle small houses. There are several slums including Mooni, Nkoma, Shaba (In Majanga cell opposite Manafwa high school). The drainage in these slums is very poor, hygiene and sanitation are really wanting, some homes have no toilets while in some areas, one toilet is shared by over 10 families. Besides, issues of antisocial behaviors are common and youths have dropped out of school. Former street kids go to those slums when they grow up to start life like and cause a lot

of havoc in those places (Mbale Municipal Planner: Source Researcher, Interviews 13th March 2018).

This situation can be attributed to rapid urbanization that has not matched the capacity to plan and manage urban growth. The growth of slums has therefore become a natural indicator of the effects of rapid urbanization. Rural to urban migrations is by far the most significant driving force behind this rapid urban population growth (UN-Habitat, 2016). This migration has resulted in the fast development of informal settlements as most of the immigrants are poor and cannot afford to live in good quality houses. The high levels of unemployment in Mbale Municipality further aggravate the problem of informal settlements.

Mbale Municipal Council does not have a clear physical development plan in place (Cities Alliance, 2018). The Municipal Authorities do not monitor slum upgrading initiatives in the slums. Granting of land rights to slum residents is problematic because there is no clear policy that promotes access to land for slum dwellers or protects them from eviction. The Municipality is constrained by the lack of decision-making power when it comes to land allocations. The power lies with Central Government (Cities Alliance, 2018). The poor are unable to acquire land due to the rising demand for land that has pushed land price upwards. The Municipality has formulated by-laws requiring the construction of planned structures that conform to the city council standards this are expensive for the slum dwellers and the slumlords are not willing to do it. Informal sector activities are hindered by high licensing, tax fees and service charges (UN-Habitat, 2012). Financial assistance to slum dwellers is limited due to lack of access to loans and other financial assistance on the other hand, the Municipality has limited financial and human resources for slum improvement. A few donors and private sector organizations are willing to fund slum upgrading initiatives in Mbale mainly because of the low profit involved.

5.6.6 Land Reforms policy

In the Pre-Colonial period, identification of a single land tenure system for Uganda was almost impossible since there were varying customary tenure practices that were differing depending with the diverse ethnic groups. The Inclusion of the Land Act in the 1995 Constitution (The Republic of Uganda, 1995) and the 1998 Land Act had four segments of owning land that brought the acknowledgement of overlapping rights to similar piece of land and therefore occupants' rights were granted to both tenant and owner of the land. These rights controlled land which included "clan rights over land which was ancestral not alienable to strangers". Academic inquiries have showed that whatsoever the variances, communities never documented land as owned by individual in Uganda (Green , 2006). Nevertheless, there was identification that numerous rights of the individual to own land was subjected to sanction by clans, family/relatives and the community. The land is also owned in small pieces that become problematic during demarcation and processing of land titles as communicated by an interviewee:

The challenge is that in Namatala, people do not own full plots, they own refined small pieces which actually need to be amalgamated together to come up with a plot. So like if it is a full plot you find many people are owning it so it becomes a very big problem to have an organized development apart from them selling then they buy elsewhere. This has also affected the developments (MMC Physical Planner. Source: Researcher Interviews 13th March 2018).

In the interview with key respondents the following was said:

Namatala is purely a customary tenure system, we are trying to encourage them to get lease hold so as to implement our plans, when it is lease hold, we can at least have a mandate over it compared to customary. The colonial masters who came up with the gazettelement, the town was planned here (Namatala), therefore they kept on moving people that's why you find that actually most of these area was customary land (MMC Physical Planner. Source: Researcher Interviews 13th March 2018).

5.6.7 Legal and institutional framework

The Land Management Framework for Mbale Municipality comprises of the Area Land Committees and the Technical Land Team consisting of the Land Management Supervisor, the

Land Surveyor, the Municipal Engineer, the Land Patrol Officer, the Cartographer, the Medical Officer of Health, the Environment Officer, the District Land Board, and the Land Administration comprising of the Town Clerk (UN-Habitat, 2011).

Mbale has an old structural plan that specifies various land uses according to various zones. The plan was drafted by the former colonial authorities and is outdated (Cities Alliance, 2018). About 20 percent of the developing areas in the municipality are occupied with buildings approved by the Municipal Council and having proper land titles and lease offers, while 80 percent of developing areas are full of illegal buildings with no proper legal documentation and approvals from the Municipal Council (Cities Alliance, 2018). Land records are not sufficient because of lack of proper storage and computerization of the land register, they are stored manually according to plot, numbers, street or road and depending on their use, for example residential, commercial or public, they are also bulky and not easy to retrieve because of the manual storage (Cities Alliance, 2018). Mbale Municipality does not have a Municipal Land Board and instead uses the District Land Board where they are not adequately represented, with only one representative, as compared to the District which has six representatives (Cities Alliance, 2018). Consequently they have little influence in the decision making process and yet problems of urban setting are unique and cannot be compared with those of the District which have a rural setting. The institutional set up in place is not well constituted and cannot adequately direct the type of developments and plans required for orderly urban development in Namatala in particular. The current regulatory framework therefore, is not well defined. This presents a negative impact on better land use planning, implementation and viable urban development (Bidandi, 2017).

This situation poses a number of challenges. Mbale Municipal Council does not own land for public use, privatization/liberalization of the economy has led to the growth of buildings and structures, many of which are built without following the environmental and zoning guidelines,

and slums have been allowed to mushroom uncontrolled, further contributing to the degradation of the land (Cities Alliance, 2018). The lack of basic social amenities in some areas has led to increased development in areas that have access to the basic social amenities such as water, sewer lines and electricity which has led to overcrowding in certain parts of the town while inadequate enforcement of land use regulations by the local authorities has led to the rapid development of illegal structures. Lack of approved plans, over-population and land shortage is forcing people to encroach on flood plains, road reserves, drainage channels, and land earmarked for public use (Cities Alliance, 2018).

The drainage system, is a very big challenge especially when it rains, some of those drainages pass through ungazetted places. People have ended up diverting water channels, where water is supposed to pass, their natural points have been tampered with. So instead water passes through places that are not meant and it causes flooding in Namatala. Environmentally, sometimes it is responsible for those outbreaks of epidemics, we sometimes try to talk to the people and compel the ones who have diverted rain water to reinstate the passages and some have heeded, we sometimes even end up arresting them and prosecuting them in the courts. But as I told you, there are things which the Municipal Council can do but of course you find people want to use their way, they feel as long as they are not infringing on the rights of others, they are doing the right thing but in real sense they are not doing the right thing. So it kind of affects our development efforts very much. (MMC Acting Economic Planner, source research interviews 13TH March 2018).

The municipality residents and civil society are involved in land management issues. Land rules and regulation have slowly started to be enforced and people are starting to follow land use regulations when putting up buildings and other types of developments (Mbale Municipal Council, 2015). The Municipal Council has emphasized optimum use of land as having paramount importance and whose management systems must guarantee environmental sustainability while at the same time addressing and ensuring broader social and economic objectives and benefits. An ideal land use planning system is in place but its implementation is hampered by lack of financial resources and political interference.

5.7 SWOT Summary of Policies and Their Implementation

This section presents the summary of the strengths, weaknesses, opportunities and threats of the policies and their implementation as they relate to the four pillars of sustainable development (Table 5-2).

Table 0-2 SWOT summary for policies and their implementation

Sustainability pillars		
Social	Strengths	The households are being empowered through the MDFs to articulate their needs Households involved in policy formulation
	Weaknesses	Most slum residents are not familiar with the policies that exist
	Opportunities	There are policies that cover land use, slum improvement and sustainable cities Willingness for involvement by all actors The community collaborates with the local government to ensure that the voices of the people are heard and also that law and order is kept The principals of subsidiarity, participation, inter and intra generational equity, among others as recommended by international policy have steadily been incorporated and adapted by the national government in its policy framework.
	Threats	Lack of responsive institutional framework for narrowing social differences in the slums There is lack of consolidation of the roles of the grassroots institutions and actors involved in informal land development Lack of wellbeing goals that will be long term in nature specifically on prevention, integration and collaboration The increase of disorganized land records, un-serviced land, land tenures systems that are poor, planning structures that are outdated, external interference from politicians in decision making and laws that are outdated Land privately owned
Economic	Strengths	Formation of local self-help groups Resilience in the people
	Weaknesses	Most households rent the houses they live in They lack collateral for loans
	Opportunities	Existing experience and developed policies from the developed world

		Availability of willing partners
	Threats	<p>Need for development of bylaws and regulations that cater to the needs, security, comfort and economic activity that is best suited for the urban poor in Namatala and not borrowed directly from the developed world</p> <p>Lack of adequate place specific data</p> <p>Need for more government involvement especially in the area of community sensitization and collaboration</p> <p>Political meddling in development and technical matters particularly from the Central Government which acts as an obstruction to the development process</p> <p>Difficult for the local authority to collect and manage local revenue as a result of conflicting regulatory powers between the Council and other power centres</p>
Environmental	Strengths	<p>Awareness of policies regarding clean environment</p> <p>The data centres that are kept and disseminated by the MDF are used as a central point of access for settlement data</p>
	Weaknesses	<p>Lack of awareness of environmental policies</p> <p>Lack of funding of planned projects</p> <p>weak coverage of basic infrastructure services, notably water, energy, and sanitation, which makes it difficult to improve welfare in the slum</p> <p>Lack of relevant adequately rationalized and harmonized laws and policies that impact on slum and slum management</p>
	Opportunities	<p>An environmental coordination office at the Municipality and Division level</p> <p>Existence of a recycling facility that also offers job opportunity</p>
	Threats	<p>inadequate future funding and prioritisation of interventions</p> <p>Need for a deliberate effort by policy makers to adopt effective urban policies to address urban conditions</p> <p>Mbale Municipal Council does not own land for public use</p> <p>privatization/Liberalization of the economy has led to the growth of buildings and structures, many of which are built without following the environmental and zoning guidelines</p> <p>Inadequacy of human resources for municipal activities</p>
Cultural	Strengths	<p>There is cultural leadership in the slum</p> <p>Cultural leaders are highly respected</p>

	Weaknesses	Lack of awareness of cultural strength
	Opportunities	Culture has been incorporated in the sustainability debate world wide The third sector groups using already existing cultural formations to Implement projects
	Threats	Need for focused political leadership Lack of policies that place culture as a central binding element in sustainability Need for enactment of policies that are place specific for Namatala bearing culture in mind policy is failing to successfully shape the nature of development The National policies and district policies are the same policies that apply to the municipal level especially the National Urban Policy there is therefore disconnect between the policies and their implementation A strong culture of democracy

Source Researcher

5.8 The role of the community and the third sector in Place Building

5.8.1 Introduction

Besides the Uganda Government and the Mbale Local government, CBOs and NGOs have played a part in the development of Namatala. This section addresses community and the third sector in the making of Namatala.

5.8.2 Social aspects in Mbale

There are some Non-Governmental and Community Based Organizations that are actively engaged in slum upgrading initiatives such as provision of basic services like water, education and health. Slum dwellers are largely involved in slum upgrading activities and this helps in creating a sense of ownerships of the projects among slum residents. There is an attempt at public-private-community partnership for slum upgrading in water supply, sanitation, health,

solid waste management, housing improvement, education, and micro-credit provision, but this is not felt as it lacks coordination and follow up (Lwasa, 2015).

In light of social policies, the community development officer says that,

...we believe Namatala needs a lot of support because it is a bigger slum, with a bigger population, with a lot of activities going on, with a number of mixture of tribes. (MMC Community Development Officer. Source: Researcher Interviews 16th March 2018).

For change to occur in Mbales' economic, cultural, environmental and social environments there is still a lot to do on the part of the government including the need to use participatory approaches in working with the local community for greater development, so as to have a transformational impact on the residents of Namatala.

5.8.3 Economic aspects in Mbale

The interviews with Municipal Council officials listed economic activities as, “Malwa/Ajon” brewing, back yard factories, shops, retail, grocery, food vending among others. Most of these activities, as highlighted by the municipal officials, are informal and therefore proper accounting of household income becomes problematic. This was observed as a discrepancy with the questionnaire data, as it was difficult to equate the household income with the amount spent on food (Table 4-30 and 4-31). This was an unexplained disparity which became clearer after the interviews, one of the municipal officials had this to say:

The dominant economic activity is informal trading, whose income is not documented. Most of the people who trade in Mbale are not registered with Uganda Revenue Authority, and therefore do not pay taxes. They are just trying to bring it on board through the Uganda Registration Services Bureau, (MMC Ag Economic Planner Source: Researcher Interviews 16th March 2018).

5.8.4 Environment aspects in Mbale

As previously enumerated on the national level, the environmental policies and plans have been put in place (Mbale Municipal Council, 2015). Challenges are experienced in terms

of availability of resources, politics and community buy in. The household surveys questionnaire results in chapter 4 showed that the major environmental challenges in Namatala are solid waste management and flooding during the rainy season. The residents have resorted to collecting garbage in gunny bags with the hope that the municipal council officials will collect them (Figure 5-2).



Figure 0-2 Waste collection using gunny bags in Mvule cell Namatala

The household surveys showed that solid waste was rarely collected in the selected cells, this finding was corroborated by the Environment Officer:

the management of solid waste in Namatala is a challenge because previously we used to have two collection centres and then we put skips, two skips in those areas so that our skip loader will go and collect but now one of our sights where we had put the skip was somebody's plot so the person said no I don't need this, actually, he has built new houses in the area so we had to remove our skips (Environmental officer MMC Source: Researcher Interviews 16th March 2018).



Figure 0-3 A garbage site near a water source in Mvule cell where originally there was a skip and the owner has erected a wall.

Source researcher data.

Unofficial administrative dynamics can also be in the form of indifference, which takes the form of urban authorities being reluctant or unconcerned with unacceptable informal dynamics. Besides unofficial administrative and political pressures, research indicates that natural disasters such as drought, floods, pestilence, mass wasting, tsunamis, hurricanes and others are also dynamics responsible for changes in cities and towns (UN-HABITAT, 2003). When these disasters occur, they cause displacement of human populations which in other words can result into urban population growth impacting negatively or positively to the urbanisation process (Popp, 2006).

5.8.5 Cultural aspects

Although culture is a dominant factor in most African communities, the main issue regarding culture in this region was mentioned as the circumcision culture of the Bagishu tribe, where every even year young men in the late teens go through a traditional circumcision ceremony as a transition from childhood to manhood. The ceremony happens within the municipal location at Mutoto and it attracts a lot of trade during the week long ceremonies. It is

also used as a time to educate the young men on life issues. This kind of ceremony could be used as an avenue for educating the youth on sustainable livelihoods, as a lot of importance is put on this cultural aspect by the Bagishu who form a large part of the population in Namatala 41% (Table 4-2). Other cultural activities could be detrimental to development as pointed out by an interviewee who said the following;

Then the Itesots also their culture is centred on drinking ‘Ajon’ (local brew), when a child is born today, the very day s/he must be given some Ajon as some kind of initiation to their culture, so it crosscuts in Mbale (MMC Community development officer. Source: Researcher Interviews 16th March 2018)

Another said;

The people who stay in Namatala have many different cultures most of them have their own cultural believes it is cultural for some of them not to use latrines it is regarded as a curse (MMC Community development officer. Source: Researcher Interviews 16th March 2018).

In general most of the responses from the interview showed that culture could be used positively to bring people together towards sustainability and people resilience. The Community Development Officer had this to say:

we need to just strategize and see how best we can get them together and probably they package what is good from where they come from so as they can be able to have a better communication to understand what is good and what good can come out of them and that is what we know can be worked on probably that’s what we can have as a starting point but they already exist and they are already organized because some of them are working together, they have saving groups amongst themselves, they are surviving informally, having informal businesses (MMC Community Development Officer. Source: Researcher Interviews 16th March 2018).

5.9 Community participation

Historically, participation of citizens in Uganda has been geared towards political orientation, as the majority of residents vote their leaders into office and generally leave the decisions to them until the next election. The media also focuses mostly on the political arena and this greatly impacts on the decision making of the local authorities creating a passive role

on developmental matters (Kugonza & Mukobi, 2016). There is therefore failure among Governments, Central and Local to give expected provisions to the citizens. This reality is evident since the local authorities prefer being active in politics and thus forget their responsibility to the residents of their locality. Attempts to petition citizen's involvement have been usually one time consultations, which in the long run only benefit the local authorities and deny the citizens the right to be heard (Onyach-Olaa, 2003).

The dynamics that explain the mushrooming of informal settlements in South African cities and towns border on unofficial administrative behaviour that occur in form of unethical conduct expressed by city authorities (Misselhorn, 2008). This behaviour is precipitated by corruption, bribery and lack of transparency.

On matters of awareness creation to enlighten citizens in the interviews it was said:

... people just dump everything into those bins so and when it reaches down there it also becomes a challenge to those people who sort the garbage and sometimes some have ended up getting injured, issues of we have always tried to tell people that they ensure they separate waste. Some have heeded to the advice some have not heeded to the advice. But we are still doing that it is a continuous process, so that they know the dangers of mixing waste. (Mbale Municipal Environmental Officer Source: Researcher Interviews 16th March 2018).



Figure 0-4 Medical waste disposal in Sisye cell Namatala: Source Researchers data

The citizens are not allowed to push through their agenda and hence policies that are drafted lack the ideas of the grassroots, and therefore during implementation the citizens resist and implementation becomes difficult (Kugonza & Mukobi, 2016). Often this calls for tireless and at times costly interventions to solicit peoples' support of decisions already taken.

The Constitution of Uganda and the local government acts provide for the participation of the community to the country's development. The National Objective on the Role of People in Development in the Constitution states that: "The state shall take the necessary steps to involve the people in the formulation and implementation of development plans and programmes that affect them" (The Republic of Uganda, 1995). The government also set up the transforming the Settlements for the Urban Poor in Uganda (TSUPU) program (Republic of Uganda, 2010) which targets Uganda's secondary cities with an aim of aligning urban development efforts at the national government, local government and community levels and include the urban poor into the planning and decision-making processes.

In the interviews, the Community Development Officer, in regards to the government approach to community participation in policy implementation, concurs by saying that:

The intervention of the government relies on the policies to ensure that there is participatory planning, this community is participating in planning and they tell us their problems, you know the problems are generated at the grass roots... The policy is that, for any development activity, the communities have to participate. They tell us their problems and these problems come as plans and we make sure that they are integrated in our plan if there is no road they tell us this area we need a road, this area we need water, we need a toilet facility, water and sanitation, we need to improve on our drainage system all those are captured in our plans for purposes of resource provision and we have also been lucky because we were able to get support from Cities Alliance, through Transforming Settlements of Urban People in Uganda and also some slums benefited in terms of improving infrastructural projects like road network, water and sanitation, drainage system. (Mbale Municipal Community Development Officer Source: Researcher Interviews 16th March 2018).

In recent years there has been human development achievements which have arisen from participatory representation (MoFPED, 2000). However, these representations are to be translated into empowering environments and a common benefit that is shared to the poor in the urban areas. The national government has tried inclusion for all through participatory approaches to resilience development programmes (UN-Habitat, 2010). Cities Alliances and UN-Habitat supported the implementation of the Social Tenure Domain Model (STDM) tool (Christiaan, 2010). The STDM was to address the land tenure issues in the slums across five secondary cities namely: Mbale, Masaka, Entebbe and Tororo (Cities Alliance, 2014). A case study highlights application of the STDM in Mbale through the Mbale Municipal Development Forum (MDF) (Christiaan, 2010). The Community Development Officer highlighted the importance of the MDF by saying:

The MDF has representatives from the business community, academia, youth, women, elderly opinion leaders and slum dwellers. So it is really a rich committee. It meets with individuals at the grassroots who feed them with the information. This is entered into computers for purposes of helping our communities appreciate what the challenges are and work on success. (Community Development Officer: Researcher Interviews 13th March 2018).

The Municipal Development Forum (MDF) is amongst other key donor-funded programmes that support planning initiatives in the country (Ministry of Local Government, 2003). MDFs are aimed at promoting participatory stakeholder engagement in addressing urban development and service delivery. They are quasi-public private partnerships (PPPs) also referred to as public

private people partnerships (PPPs) as their membership includes Government and a wide range of non-government actors such as private developers, communities, faith-based organizations, civil society and the media among others (Cities Alliance, 2014).

The MDF officials summarized the data centres as below:

.... We go into the communities, collect data, and feed into the system. This aids in communicating the challenges and opportunities that exist in a community, identify the gaps and prioritise them. This is then communicated to the relevant authorities for planning purposes (Chairperson MDF 16th March 2018).

The Economic planner had faith in the data collected by the MDF by saying the following;

The data centres that are kept and disseminated by the MDF will be used as a central point of access for settlement data and other stakeholders have been encouraged to use the facility rather than repeating the processes. (MMC Economic Planner 13th March 2018).

There is need for the local government policies to be disseminated and applied in a way that they will shape Namatala, with an aim of moving to a governance module which recognizes the local community within policy formation and the delivery of policy. The national policies and district policies are the same policies that apply to the municipal level especially the National Urban Policy (Republic of Uganda, 2010) and thus Namatala. However, policy is failing to successfully shape the nature of development, it is evident that there seem to be a big disconnect between the policies and their implementation and that there is lack of sufficient manpower to implement the laid down policies of the local government. There is still a lot to do on the part of the government and the best option discussed is by using participatory approaches in working with the locals for greater development so as to have a transformational impact to the residents of Namatala (Brown, 2012).

5.10 Urban slum situation in Mbale

The inhabitants of Mbale town are faced by several challenges which include the increase of informal settlements, disorganized land records, un-serviced land, land tenure systems that are poor, planning structures that are outdated, external interference from politicians in decision making, laws that are outdated, high urban population and inadequate human resources (UN-HABITAT, 2012).

Namatala, just like other slums experience super wicked problems which include social inequalities, health, educational access and poverty and those whose time is running out, there is no central authority and the people trying to solve the problem are also causing it. The intersection of the economic, environment and social systems create the supper wicked problems, there are no completely right solutions to this type of problem (Rittel & Webber, 1973). For there to be sustainable development, there is need for a hybrid approach to partnerships that engages the community while mobilizing the resources of governments and large agencies.

From the ongoing discussions, there is need for the interconnectedness of the economic, social, cultural and environmental factors to create sustainable communities. The other actors that can be put in place towards shaping the characteristics of Namatala are the ethnic groups that form the population of the place. In African societies, ethnic affiliations and different cultural history and characteristic of a people determine how the people will group themselves and also shape how this people will be approached on different matters regarding their way of life (Leach, 1965). One of the municipal officers commented that;

....you realize their mind set is really fixed on their culture and their traditions so we need just to adopt to the environment and some of us engage as a town to help them understand that your culture is very important your tribe is good where you come from is important because they moved with their practices here and you realize their population is growing every day. But their mind set is the problem, we need to see how best we can talk to them, we need to see how best we can get their mentors, their role models, maybe we can talk to their leaders to see how best we can help them but you know when they come to

Namatala they come with everything from their culture so it is something which is not easy to drop but we are living with them and we must ensure that they also coexist as we also live amongst their people (Mbale Municipal community development office Source: Researcher Interviews 16th March 2018).

The third sector groups play an important role in Namatala by extending their interventions into the provision of health, education, housing and credit services to the slum dwellers, they have stepped up as the main service providers in the slum where the government has failed to perform its duties to the citizens.

To ensure sustainable cities, partnerships and community participation are crucial joining factors. The communities and the third sector groups must look at their interventions, strengths, opportunities and weaknesses and together find a place-specific solution to the issues that manifest. The third sector at work in Namatala includes community-based organizations, self-help groups, NGO's and the government. The third sector groups help communities to take control of their circumstances, exercise power and achieve their own goals, so that they can help themselves and others to maximize the quality of their lives (McLaughlin, 2014).

5.11 Conclusion

The key findings from the SWOT analysis is that although Uganda is making strides in policy formulation, the implementation of the policies faces many weaknesses and challenges resulting majorly from lack of resources, little or no community participation and weak government mechanisms. The government of Uganda has been keen to see improvement in urban areas and has been supportive of attempts to meet the challenge of improving the lives of slum dwellers especially in policy formulation. It is one of the member countries that has signed the protocols on sustainable development and made several policy recommendations on sustainability (Republic of Uganda, 2016). From the foregoing analysis, there are several

existing policies in Uganda that address concerns of urban areas and slums, from national, through district to local levels.

The review of Uganda Urban policy shows that Uganda has undertaken steps to create policies that aim to achieve coordinated, efficient and environmentally sound social economic development and to secure proper land use and spatial planning. The Government of Uganda has approved physical Development plans (PDPs) to guide planning and offered technical assistance to the local governments in matters of physical planning (Ministry of Lands Housing and Urban development, 2003). The policies are in place but they are either not effective, are inherently weak or are not comprehensive enough to guide planned urbanization from a multifaceted perspective of the dynamics underlying this process. Efforts have also been made to incorporate the sustainability principles of subsidiarity, participation and collaboration into the main government policy documents in the areas of environment, economic, social and cultural sustainability. These policies have had an immediate degree of success, followed by a subsequent dip (Robinson, 2007). Gaps in the policy environment exist (Brown, 2013)

The government has however been unable to effectively implement these policies due to inadequate human resources and corruption (Brown, 2013). Ensuring subsidiarity, participation of stakeholders and collaboration in the policy process has been challenging. These findings concur with the argument that the legal framework in place to guide Kampala's urbanisation is generally not effective enough to deliver the city's urbanisation in a planned manner because it is inherently constrained by a number of weaknesses as presented above (Bidandi, 2015). The informal settlements that characterise Kampala's urbanisation are as a result of weaknesses in the city's technical or structural plans (Bidandi, 2017), the technical planning of Kampala's urbanisation focuses on developing physical plans to guide urbanisation, which are too rigid to respond to the changing needs of the market and in particular to be flexibly aligned to the fast globalising trend. Chapter 6 examines in more details the role of each of the actors in the slum

especially the third sector groups, in implementation of the urban policies in Uganda with special emphasis on the slums basing on Namatala as the place.

CHAPTER 6: MECHANISMS OF EFFECTIVE COMMUNITY AND CAPACITY BUILDING

6.1 Introduction

This chapter assessed the role of community-based organisations and third sector groups in the place building of Namatala slum for the fourth objective. It used data obtained from focus group discussions with third sector organizations, government officials and other actors within Namatala to explore their Strength, weakness, opportunity and threats (SWOT), the different capitals that exist in Namatala and to find different ways in which they could collaborate. Section 6.2 identifies the stakeholders. Section 6.3 performs a stakeholder audit of the CBOs and NGOs while section 6.4 performs the capacity audit for the combined capacities of the CBOs and NGOs. Section 6.5 presents the review of the combined capitals. Section 6.6 concludes the chapter.

6.2 Stakeholder Identification and analysis

This section identified third sector groups operating in Namatala vis community-based organizations, self-help groups, NGO's and the government (Table 6-1). It analysed the characteristics of CBOs and NGOs operating in Namatala including the origin, formation, policies, funding sources, governance and services they offer. Each of the third sector groups' capacity was then appraised using a SWOT analysis to bring out their strengths, weaknesses, opportunities and threats.

The study found a total of eleven community-based organisations working in Namatala. Only the organizations that were available at the time of the focus group discussion are presented in this section. These included four community-based organisations namely Child of Hope, Namatala Community Development Organisation (NCODO), youth for a Covenant Mission and

Child Fund (Community based) and two non-governmental organisations, namely Jenga Uganda and Child Restoration Outreach (CRO).

Table 0-1 Third Sector Groups Working in Namatala and their identified aims.

Table 6.1. Third Sector Groups Working in Namatala and their identified aims.				
	Name/Address	Type	Sector	Objectives/Aims
1	Child of Hope (CoH)	CBO	Community	Run education and health services Generate activities for income generation Help the needy children (Orphans) Sensitize the community about poverty Provide basic needs to the children of Namatala community
2	Child Fund	CBO	Community	Engage in table banking activities in Namatala for agriculture and business financing
3	Youth for a Covenant Ministry	CBO	Youth	Support each other through talent development and job creation
4	Namatala Community Development Organisation (NCODO)	CBO	Community	Construct a toilet facility in Namatala to ease congestion Raise income. Assist members in event of misfortunes like death unforeseen calamities and financial hardships
5	Repairers of the Breach Outreach Ministries Sisye Cell Namatala Ward	CBO	Community	Offering physical and financial assistance of the needy through group savings.
6	Prayer Palace Orphanage & Elderly Sub Project.	CBO	Development	Solicit financial and material support from the Government. Identify and establish viable projects such as radio and television.

7	Namatala Youth Development Foundation Sisye Cell Namatala Ward	CBO	Gender and community development	Mobilize and sensitize communities about fundamental human rights and help advocate for some. Plan and source resources for planned projects.
8	Nebbi Community Mbale Branch	CBO	Community	Assist members in event of misfortunes like death, unforeseen calamities and financial hardships.
9	Home of Nazareth Women Group Sisye Cell Namatala Ward	CBO	Community development	Create unity and love for one another to build better homes. Initiate and build economic activities to sustain both natural lives and spiritual or morality.
10	Jenga Uganda	NGO	Gender and community development	Aid in running education programmes for children in Namatala Supports vulnerable families that live in Namatala slums by providing health care services Set up income-generating activities
11	Child Restoration Outreach (CRO)	NGO	Street children	Rehabilitate street children through education, Providing food and skills development Resettle children who have left home due to abuse or insecurity in the region, back to their homes

(Source: Municipal Council)

6.3 Capacity audit for Community Based Organizations

6.3.1 Child of Hope (CoH)

Child of Hope was started by Moses and Bex Okotel in 2007, with support from British long-term volunteers and donors (Uganda Networks, 2018). It works in Mvule, Sisye and

Somero cells in Namatala. Mvule cell is populated by mainly the Karamojong and the Itesots communities who were mainly evicted from their home areas during the Kony War and cattle theft (Child of Hope, 2020). In 2008, CoH started with educating around 40 children in a borrowed church building. Later in 2017, a fostering service was started to provide stable homes and families to children formerly in their children home. Regular home visits are conducted, and foster parents are provided with a monthly stipend to provide for the children. The children (one per family), are offered free education, feeding programme and healthcare services and clean water from a rainwater harvesting facility in consultation with the Municipal authorities. The institution feeds the children, pays the medical bills and school fees and businesses are set up for parents/care givers to give them some financial independence.

At the time of this study, the organisation served 400 to 500 children and there are currently 285 parents/care givers in the programme (Child of Hope, 2020). The majority (58%) of the household heads are women (Table 4-9) and therefore the organization mobilises the women, gives them financial training, and helps them to establish businesses through a one-off grant. Follow up is done through weekly support sessions, an optional savings scheme is provided. The businesses include selling of charcoal, used clothes, fruits and vegetables, as well as hairdressing and running small businesses (Table 4-28) (Maliyamkono & Bagachwa, 1990). CoH has also constructed some toilets for the community and started an agricultural project with an initial purchase of 11 acres of land were parents plant food. The communities are engaged in income-generating activities, they build up their development ideas under the guidance of CoH, they are involved in all the consultative meetings and are made initiators, custodians, and owners of their activities, they also run the programmes. CoH partners with the Uganda Police and the probation service in addressing home and community issues as enumerated below during the FGD:

Now we work with police to try to manage conflict within the family but the children are safe they come to school they are not part of the problems their parents are having because one thing we want to avoid is the mental torture that would result out of a conflict of a family

in a child's life so we isolate a child or even the children voluntarily run from home. We put the children at the children's home as we try to manage the conflict in the family. When we succeed then we have got what we call a resettlement programme, we unite families together with the children because most times the children do not even want to go back home' (Manager CoH Source researcher FGD).

The organisation also cooperates with the government and advocates on policy issues relating to Namatala. In the focus group meeting the manager CoH, had this to say:

We advocate for the needy and the poor, we talk to the government to bring in favourable laws that would protect the children, protect poor families and then also we give assistance for families to start their lives'. (Manager CoH, Source researcher FGD 2017).

The manager during the interviews said the following in relation to community ownership and participation in the project:

....it was as a result of community advice that let us have this establishment in this location, the people who had ownership of this land were willing to sell it to the vision and it started. So, the people defend this organization we do very little to defend this organization because it is for the people, the gates are always open, people come in to have interactions with the income generating activities (IGA) if they are sick they come, so they own the business. So, if you want to enter a community like this one you need to integrate ideas through the leadership that is already set there and then transmit any other success story through that leadership and work together and you will find your way somewhere and the community will have the ownership of what has been started'. (Manager CoH Source researcher FGD).

The organization also generally employs members of the community, the manager during the FGD communicated that most of the staff involved in CoH are part of the Namatala community and thus understand the conditions in Namatala and help to bring solutions to their circumstances:

We started because we all lived in Namatala, first of all, we lived under similar conditions we were part of the challenges that were in Namatala already, most of the staff that you see here are either born in Namatala or lived in Namatala for more than 20 years so it was part of the story already so we thought that indeed such a difficult situation should not be permanent in a human set up'. (Manager CoH Source researcher FGD 2017).

Therefore, the story of the third sector group joins the story of the community and the individual stories of the people and groups in the community to form a new story (Bryant , 2011). Activities are designed to be sustainable and to have a long-term beneficial impact on the community. However, there is limited assistance from the government and sometimes delays in

implementation of programmes that need government permission because of the change in the political arena every five years:

...the political system in Uganda is that every five years there is the change in leadership now the leaders we began with 10 years ago are no longer in the offices so our files could be buried and then we begin afresh with new leadership so that is the big challenge now (Manager CoH Source researcher' FGD 2017).

The SWOT analysis of Child of Hope strengths, weaknesses, opportunities and threats (Table 6-3) revealed that the organisation had successfully provided community support which was appreciated by the community leading to a reduction in crime and government acknowledgement of the project. This is a good recipe for future collaboration and more growth and increase in interventions.

Table 0-2 SWOT analysis, Child of Hope

Prioritised areas of operation	Internal	
	Helpful STRENGTHS – Status of the internal driving forces enhancing the achievement of the objectives	Harmful WEAKNESSES – Status of the internal driving forces impeding achievement of the objectives
Running education programmes for children in Namatala, providing health care services Setting up income-generating activities	Good management and availability of framework for planning and monitoring Well trained staff 78 staff members Employees of former street children who understand the community Regular support from family and friends Partnerships with churches Buildings available to accommodate the beneficiaries	Inadequate funds for growth Availability of human resources Need for more trained staff
Prioritised critical factors	External	
	Helpful OPPORTUNITIES – Status of external driving forces	Harmful THREATS – Status of external driving forces

	enhancing the achievement of the objective	impeding achievement of the objective
Financing and collaborations	<p>Availability of external financing support</p> <p>Government approval</p> <p>There is acceptability by high-level decision-makers as to the necessity for capacity support.</p> <p>Involvement of other third sector groups including churches</p> <p>Community links and participation</p> <p>Security from government</p> <p>Training available at the local level</p>	<p>Presence of more families and children thus straining support</p> <p>Lack of organized collaboration with other stakeholders</p> <p>Low participation of government involvement as a major stakeholder</p> <p>Stability in the political arena to avoid follow up gaps in policy implementations</p>

(Source Researcher FGD)



Figure 0-1: Child of Hope School, Namatala Source researcher

6.3.2 Namatala Community Development Organization (NCODO)

NCODO is a 35-member community-based organisation created in 2012. Its membership consists of the members of the Namatala community including government workers such as the

local council officials and the landlord of the portion of land holding the toilet facility in Mvule cell. It is therefore, a voluntary group from the community that has come up to declare “what we can do for ourselves as a community in Namatala”. The main objective of NCODO is to assist members in misfortunes like death unforeseen calamities & financial hardships. NCODO works with Partnership Overseas Networking Trust (PONT), a unique community twinning scheme linking the University of South Wales and other organizations in the Pontypridd area with communities in the wider Mbale Region, on the construction of a community toilet in Namatala, Mvule zone, to ease congestion and to raise income, the chairperson had this to say;

...it was started when we had members from PONT who came and associated with us and asked us what type of project would be beneficial to the community and for us as elders, we thought that it was wise to have a toilet facility to aid us to avert issues of sanitation and that is why we took up the public toilet that was wholly funded by PONT and it was opened/commissioned by the Prime Minister of the Welsh Assembly in 2014 (Chairperson NCODO; Source Researcher FGD 2017).

The toilet is functional but there are challenges of raising funds for its’ maintenance. This is because the community would prefer to spend their money on food rather than on a toilet facility. This could be attributed to cultural norms of the Karamojong and the Itesot people mainly occupying the Mvule cell to whom it is a taboo to use latrines which they believe would bring infertility among women and can lead to blindness among men (75%, Table 4-2). To mitigate this, NCODO plans to sensitize the community on the need to use the toilet facility;

.... also given the type of community we have they have not taken it up as a facility that is helpful to them. You find that very few people, not more than 10 out of that big community use the toilet so we find it a very big challenge. Together with Marga from the University of South Wales, we have made a resolution that we are going to use the local leaders to raise awareness and sensitization through meetings’ (Chairperson NCODO; Source Researcher FGD 2017).

The members of NCODO have received training funded by PONT on making interlocking bricks, a skill that would help them raise income.

We are looking as NCODO to train some of the members to make interlocking blocks, incidentally the machine that was used was taken away, it was just hired so I know in future if the machine was available these people still have the knowledge they would begin

producing this interlocking blocks and they would be on market for sale as a project within NCODO itself' (Chairperson NCODO; Source Researcher FGD 2017).

NCODO hopes to solve the funds' issue by selling water from the government waterline they were putting up during this interview. Though this would be expensive for the community, together with water harvesting which is already installed and running, it would supplement the few standpipes available especially in Mvule which has the lowest at 75%, (Table 4-34).



Figure 0-2: Some of the members of NCODO. At the background, is the community toilet in Mvule



Figure 0-3: Some of the members of NCODO and University of South Wales staff inspecting the community toilet in Mvule

NCODO portrayed a commendable level of volunteerism in Namatala depicting the willingness of the community to embrace their situation and collectively find solutions. One of the threats faced by the community is poverty as one of NCODO members said:

It is good that you came walking and particularly from that direction of the child of hope you should have seen the type of condition in which people live, the dominant community of this slum here are the Itesot and Karamojong who ran from their districts when there were problems of insecurity so they came they are squatters here they don't have permanent homes and the type of lives they are leading is hand to mouth if you came early in the morning you would have met a large group of people heading to town to do petty things like sorting cereals to get something for the day'. (Member NCODO Source Researcher FGD).

One of the major opportunities is the involvement of the government in the community group's right from the membership to the provision of security. The community collaborates with the local government to ensure that the voices of the people are heard and that law and order is kept. The community policing chairperson had this to say;

We said let us unite and make Namatala a living place. Somero cell where we are as part of Mvule cell, but now they are two cells as we speak, we sit down and speak one word for the sake of a human being who lives in Namatala this is a community hall that stands in the space that was supposed to be a lions' park. We sat and said why don't we request for a police post and it was granted to us in 2007 and together with the police, we have a policing office which created this home and with the police officers we have one heart we do one thing, we understand each other and we understand the problems of the community (Chairperson Community Policing Namatala; Source Researcher FGD).

The officer commanding the Somero police station had this to say:

We have been working together hand in hand we emphasize on community policing in the area. The crime has been high but as she said, with community policing in the area everything is going down, crime cases reported have reduced every day and night and we are not receiving many complaints like those days. (Police Officer commanding Somero Police Station Namatala; Source Researcher FGD 2017)/

There is however need for more government involvement especially in community sensitization and in providing for the toilet facilities and provision of water. The chairperson explained one of the reasons for lack of use of the toilet facility as lack of finances:

.... there is a financial implication on the usage because somebody will opt to pay shs.200 to buy cooking oil or food rather than use it on the toilet, so they opt to put the poop in a black paper bag and throw it on the street. So also poverty is making the facility not viable, we now know that if the facility is to be used we needed to device other means so that it really gets its meaning of a public toilet maybe through government subsidy for people to

use, it seems they are shying away from the facility because of the cost (Chairperson NCODO; Source Researcher FGD 2017).

Table 0-3 SWOT Analysis: Namatala Community Development Organization (NCODO)

Prioritised areas of operation	Internal	
	Helpful STRENGTHS – Status of the internal driving forces enhancing the achievement of the objectives	Harmful WEAKNESSES – Status of the internal driving forces impeding achievement of the objectives
Construction of a toilet facility in Namatala to ease congestion and to raise income. Assist members in misfortunes like death unforeseen calamities & financial hardships	Public toilet wholly funded by PONT Cooperative community Committed volunteers 15-year tenancy agreement for land Water available for community use Choice of projects originates from the community	Funds to manage the toilet facility Lack of ownership of the project by the community Leadership and skills training needed
	External	
	Helpful OPPORTUNITIES – Status of external driving forces enhancing the achievement of the objective	Harmful THREATS – Status of external driving forces impeding achievement of the objective
	Availability of external financing Involvement of other third sector groups including churches Support by PONT Skills acquisition through PONT pieces of training	Continuous change in the political arena Need for more sensitization Lack of proper collaboration with other stakeholders Insufficient Government involvement

(Source Researcher FGD)

Government intervention delays forcing the community to either take their own action to remedy the situation or to involve the third sector groups. The chairperson said:

Issues of the municipality are a bit very technical, as we talk an issue of just water or even a road can take a year to implement, so issues of the municipality are not very easily

handled at the municipal level so we find other means of solving our problems here and then. We usually sometimes take these issues to churches, like issues of the girl child, drinking, security and diseases in communities are addressed through churches. That is the easier way because the local council was last elected in 2001 and they have almost lost value and they almost do not have any authority in the communities because 2001 to 2017 is quite long but if we get a new council, maybe we shall have vibrant council members that will enforce some of these. (Chairperson NCODO; Source Researcher FGD).

From analysis of the SWOT analysis of NCODO, it emerged that their greatest strength is in the fact that the people forming the group all reside in Namatala and that they are drawn from both the government and the community.

6.3.3 Child Fund

The child fund CBO comprises of people drawn from Namatala and has a membership of 50 people who engage in table banking activities in Namatala for agriculture and business financing. The group has monthly meetings for table banking. Their savings and the loans attract a small interest. Child fund has helped improve the wellbeing of its members through education and health. Through the savings, a 50-member youth group has been formed. This group has a local project in which they pack fried maize and groundnuts for sale in town through hawking in town, creating jobs for themselves. In their meetings, group members are also sensitized on hygiene, parenting and drug and alcohol abuse

An analysis of the strength, weakness, opportunity, and threats for Child Fund showed that there had been lifelong learning and community-initiated job creation. It was also noted that there was improvement in wellbeing and a reduction of crime. The communities also share knowledge while the professionals among them share in training for skills development, thus managing to engage the youth.

Table 0-4 SWOT Analysis: Child Fund Community- Based Organization

Prioritised areas of operation	Internal	
	Helpful STRENGTHS – Status of the internal driving forces enhancing the achievement of the objectives	Harmful WEAKNESSES – Status of the internal driving forces impeding achievement of the objectives
Engage in table banking activities in Namatala for agriculture and Business financing	Committed group members a functioning workshop Enough workforce Shares Interest used to fund the organization	Funds for expansion Office space Workshop machines
	External	
	Helpful OPPORTUNITIES – Status of external driving forces enhancing the achievement of the objective	Harmful THREATS – Status of external driving forces impeding achievement of the objective
	Collaboration with other organizations Knowledge exchange Professionals within the group	Improve on banking methods for the security of savings

(Source: Researcher FGD)

6.3.4 Youth for a Covenant Mission (YFACM)

The group was created in 2014 and registered by the government as a self-help group. It is made up of youths from Namatala comprised of former and present street children that have purposed to support each other through talent development and job creation. The objectives of the group were; control behaviour for healthy living, stimulate activities, widen the market, and develop skills and talents for productivity and to close the gap between the rich and the poor. One member of the group said the following during the interview “The group helps me to be on the right track as I prepare for my future and tackle this man poverty in a practical way” (Group member YFACM; Source Researcher 2017).

They have monthly meetings using churches as centres of coordination where they congregate youths from Namatala and give them inspirational talks and influence them for positive change, especially on job creation from within, and how to overcome drugs, alcohol and violence through peer influence. They inspire each other to appreciate their circumstances, face them and change as a foundation for future generations. One of the leaders of the group said:

The poverty in Namatala is real and not an ideology but we believe that we will end the suffering by facing our realities and finding solutions within ourselves (Group leader YFACM; Source Researcher 2017).

The members' skills and competencies are encouraged, and the group leaders look for talent and try to match them with donors and well-wishers for sustainability and in their own words "for transformation and change" they argue that "what you see is what drives you" and as a result, they want to see hope, improvement in their talents and an end to poverty. They currently have a hair salon and barbershop that operates as such during the day and at night serves as a home for those without a home to go to sleep. They also empower each other in employment for those that have received employment through organizations such as Child of Hope and CRO.



Figure 0-4: Youth for a Covenant mission entertaining guests during the opening of their office in Namatala.

Considering that the highest proportion of Uganda’s population is young (under 18 years) constituting more than half (55 percent) of the population in the 2014 census, the youth problem cuts across the country (UBOS, 2016). It is therefore imperative that the government considers serious policies to empower this population for future growth and sustainability.

Table 0-5 SWOT Analysis: Youth for a Covenant Mission

Prioritised areas of operation	Internal	
	Helpful STRENGTHS – Status of the internal driving forces enhancing the achievement of the objectives	Harmful WEAKNESSES – Status of the internal driving forces impeding achievement of the objectives
Youths from Namatala that have purposed to support each other through talent development and job creation to, control behavior for healthy living, stimulate activities, widen the market, and develop skills and talents to productivity in order to close the gap between the rich and the poor.	A strong pool of volunteers that has grown in Namatala Passionate youth Support from peers that are employed A homogenous group Strong commitment from members	Lack of enough funds to run intended activities High poverty levels in most of the members The inability of some members to get out of alcohol and drug addiction.
	External	
	Helpful OPPORTUNITIES – Status of external driving forces enhancing the achievement of the objective	Harmful THREATS – Status of external driving forces impeding achievement of the objective
	Availability of external financing Involvement of third sector groups especially churches community links and participation Training available at a local level	A continuous increase of youth in the street needing support for more youth. Lack of proper collaboration with other stakeholders

(Source: Researcher FGD)

6.4 Capacity Audit for Non-Governmental Organizations

6.4.1 Jenga Community Development Outreach

Jenga Community Development outreach formed in 2005, is a Christian non-profit charity based in Uganda and supported by its sister charity in the UK, Jenga UK, its main area of operation is in Mbale urban slums and rural villages. Jenga's main activity in Namatala is to support needy children through education, to offer sustainable development programs like saving groups for women and to equip residents with skills to help them meet their own needs. They also encourage savings among the children where the members have regular meetings and are required to save a minimum amount of money monthly, especially among the girl child (Jenga Uganda, 2019). In the FGD the representative from Jenga made a summary of their activities:

Jengas' purpose is to help the needy children, we educate them we give them all the support. The second item of what we do is to introduce village levels saving groups among women to improve on the household income so that a woman may also earn something to support the family, we also give loans to the women, we save and then give loans among the members we have also introduced the girl child into the saving group. We move to schools and the children also learn how to save (Jenga representative Source Researcher FGD 2017).

The local savings groups both for the women and the girl child strengthen the contact between groups as they work together and learn from one another. Savings and credit groups build the capacity of community organizations to manage finance collectively, and this develops their capacity to handle larger projects. Jenga supports these groups by providing the initial training and start-up materials and by regular visits to each of the groups to check on progress and offer further guidance (Jenga Uganda, 2019). Jenga also offers vocational training and support to vulnerable single mothers in the community and guidance on how to establish and maintain an income-generating small business. They provide counselling, medical treatment, health education, food, and in-home support to HIV-positive women. Jenga's education sponsorship programme connects poor and vulnerable children with donors who are willing to sponsor them throughout their primary, secondary and or tertiary education. The organization is

also involved with helping to resettle older street children with their families and to provide materials and funds needed to keep as many children as possible in school (Jenga Uganda, 2019).

Table 0-6 SWOT analysis, JENGA community development outreach

Prioritised areas of operation	Internal	
	Helpful STRENGTHS – Status of the internal driving forces enhancing the achievement of the objectives	Harmful WEAKNESSES – Status of the internal driving forces impeding achievement of the objectives
Running education programmes for children in Namatala, providing health care services setting up income-generating activities and savings group for women and the girl-child	Well trained and motivated staff Network with communities Support from churches Good leadership Availability of human resources	Resources required to meet the many needs Low support for more families and children
	External	
	Helpful OPPORTUNITIES – Status of external driving forces enhancing the achievement of the objective	Harmful THREATS – Status of external driving forces impeding achievement of the objective
	Availability of external financing Involvement of other third sector groups including churches Community links and participation Security from government Training available at the local level A hopeful community willing to solve their problems The peoples sharing spirit The people's resilience and willingness to do something regarding their circumstances	Lack of stability in the political arena causing follow up gaps in policy implementations. Collaboration with other stakeholders More reach into the community needed especially the men Low participation of government involvement as a major stakeholder

(Source Researcher FGD)

The manager CoH communicated that they collaborate with Jenga on some of the interventions:

...we work with Jenga because when there is a disaster in the community, Jenga can come in if we examine the resources that we have. For example, if we intend to build a little house for a family that has lost a house, we call on organizations like Jenga and others and say okay let's come and discuss the budget for this house, we share the contributions (Manager CoH Source researcher FGD 2017).

In consultation with the municipal council officials and the recipient community, Jenga teaches the local communities in Namatala on transmission and spread of diseases, along with the importance of personal hygiene and the dangers of unapproved cultural remedies. This partnership helps to establish health reporting systems between local communities and the Mbale District Health Office. With partnerships representing local law enforcement and justice system officials, they work to ensure the fair treatment of peoples in all aspects of the Criminal and Justice System of Mbale. Jenga also works closely with the local police, assisting them with both development work and continuing education in the community (Jenga Uganda, 2019).

The SWOT analysis (Table 6-4), derived from the group responses showed that the outcomes of Jengas intervention in Namatala included improved economic status and a change in the mindset. Several strengths and opportunities were identified in terms of existing capitals.

6.4.2 Child Restoration Outreach (CRO)

Formed in 1992, CRO is a Christian organization with branches in Jinja, Lira and Masaka in Uganda whose main objective is to rehabilitate street children through education, providing food, skills development, and resettling children back to their homes who have left home due to abuse or insecurity in the region (Child Restoration outreach, 2020). They derive their funding from well-wishers within and outside Uganda. They have a vibrant football club for skills development and talent discovery, they also get children off the streets of Mbale town and either take them to regular schools or trade schools. The children who qualify from the rehabilitation

program are sponsored to attend school in the government primary and secondary schools nearest to their home. CRO pays the school fees and buys uniforms to enable children to be retained in school. Parents/guardians are encouraged to contribute other scholastic materials e.g. books, pens etc. (Child Restoration outreach, 2020).

They ensure that a child gets at least one meal in a day through their feeding programme. Under its outreach programmes, the organization also encourages income-generating activities for households in Namatala through self-help groups that do table banking. CRO also helps women and men clubs, the clubs which are constituted of parents or guardians, meet once a week under the guidance of CRO social workers to share experiences and learn about children's rights, parenting skills, planning for their families, HIV/AIDS, income-generating skills and child nutrition (Child Restoration outreach, 2020). CRO mobilizes caregivers of children to form self-help groups among themselves through which they can save and borrow funds. The funds can be accessed by the members at an affordable interest rate. Each group comprises of 15 to 20 members. They train the groups in group dynamics, teamwork, business skills, record keeping, leadership skills, savings and credit. During the meetings, other issues like child rights, child protection, and girl child education, participation in community projects, positive parenting, community development and politics are also discussed (Child Restoration outreach, 2020). They run a mobile clinic once or twice in a month in the Namatala slum in Mbale, this activity has greatly reduced on child mortality rate and improved the health of mothers in the community. The NGO has established a football academy, where children below 10 years are trained in soccer skills (Child Restoration outreach, 2020).

After counselling and empowerment with knowledge and skills, the families of street children living in the slum areas are encouraged to resettle in their original rural homes where they have access to land for farming. CRO resettles the whole family with a resettlement package comprising of transport, farming implements, seeds, money to construct a hut and a jerrican of

paraffin. Over the years CRO has resettled over 400 families from Namatala slum in Mbale to their rural homes (Child Restoration outreach, 2020).

Table 0-7 SWOT Analysis: Child Restoration Outreach (CRO)

Prioritised areas of operation	Internal	
	Helpful STRENGTHS – Status of the internal driving forces enhancing the achievement of the objectives	Harmful WEAKNESSES – Status of the internal driving forces impeding achievement of the objectives
To rehabilitate street children through education, providing food, skills development and resettling children back to their homes who have left home due to abuse or insecurity in the region.	Strong alumni base Professional experience A strong pool of volunteers Passionate workers Assets that raise income and ease operations A steady source of income	Lack of enough funds to run intended activities Donor fatigue
	External	
	Helpful OPPORTUNITIES – Status of external driving forces enhancing the achievement of the objective	Harmful THREATS – Status of external driving forces impeding achievement of the objective
	Availability of external financing Involvement of other third sector groups including churches community links and participation security from government Training available at the local level	Continuous change in the political arena Continuous increase of children in the street needing support for more families and children Lack of proper collaboration with other stakeholders

(Source Researcher FGD)

An analysis of CRO’s strengths weaknesses, opportunities and threats revealed that the NGO has managed to elicit community participation. Its major capital is the large alumni from

the streets that they have accumulated over the years and thus a great pool of passionate volunteers. Peer counselling thus becomes easier to manage.

6.4.3 Services offered by third parties in Namatala

An analysis of the roles third parties play indicates that they mainly deal with relief, welfare capacity building and advocacy. Using the classification of the evolutionary process that NGOs undergo (Korten, 1990), this analysis shows that Namatala is mostly in the first stage, transitioned from a humanitarian led intervention, during and post conflict in the region, to a development focus, with significantly less international support. Table 6.2 summarises the services offered by third parties in Namatala.

Table 0-8 Services offered by Third Sector Parties in Namatala

Relief and welfare	Help the needy children (Orphans)
	Provide basic needs to the children of Namatala community
	Supports vulnerable families that live in Namatala slums by providing health care services
	Resettle children who have left home due to abuse or insecurity in the region back to their homes
	Assist members in event of misfortunes like death unforeseen calamities and financial hardships
	Assist members in event of misfortunes like death, unforeseen calamities and financial hardships.
	Offering physical and financial assistance of the needy.
	Create unity and love for one another to build better homes.
	Plan and source resources for planned projects.
	Aid in running education programmes for children in Namatala
	Run Education and health services
	Solicit financial and material support from the Government.
	Construct a toilet facility in Namatala to ease congestion
Capacity building	Sensitize the community about poverty
	Generate activities for income

	Engage in table banking activities in Namatala for agriculture and Business financing
	Support each other through talent development and job creation
	Raise income.
	Initiate and build economic activities to sustain both natural lives and spiritual or morality.
	Set up income-generating activities
	Rehabilitate street children through education,
	Providing food and Skills development
Advocacy	Identify and establish liable projects such as radio and television.
	Mobilize and sensitize communities about fundamental human rights and help advocate for some.

Source: Researcher

6.4.4 Conclusion

From the SWOT analysis, most of the organisations, both the CBOs and NGOs identified their capitals and cited the greatest strength as the availability of human resource especially from the community itself. These are the people that well understand their situation and are therefore able to advice and put in effort and in line with the subsidiarity principle. In the weaknesses, most organisations cited lack of enough resources to manage their activities. Most of their opportunities included training and involvement of the local community. This is critical because the fact that they are founded by community members enhances ownership by the community hence their projects are more likely to be successful and sustainable.

CBOs are often the only organizations that the poor feel that they own, trust, and can rely upon (Edward & Hulme, 1998). Conversely, the NGOs also cited cooperation from the community as one of the strengths. Their people-centred approach which is more participatory, more flexible, adaptable and holistic, improves on their efficiencies (Bebbington, et al., 2008). However, there is need for more collaboration within the third sector groups. This aspect was lacking and manifested in duplication of activities. There is need for the organisations to look at

their strength areas, concentrate on them and allow other organisations with a strength in another area to focus on those issues. This would help in apportioning resources where they are most needed, and thus bring down the risk of inadequacy of funds.

6.5 Capacity Audit for Combined Capitals of CBOs and NGOs.

This section presents the results of the focus group discussion which was convened to bring together the groups in one gathering to examine their combined capitals and how they can share them (Figure 6-5). During the FGD, three main issues were discussed by each group relating to the opportunities that exist in Namatala; what possible new ways of working with each other, and the type of capitals existing in each organization and thus in Namatala. The responses from each group were transcribed and brought together in the plenary sessions.



Figure 0-5: Third sector Stakeholder Workshop. Source: Researcher FGD.



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Figure 0-6: Third sector Stakeholder Workshop. Source: Researcher FGD

6.6 Community Based organization's Capitals

6.6.1 Child of Hope

Child of hope delivers a broad range of services to the community in Namatala, this includes community self-help groups, finding foster homes for children who are orphaned or in dysfunctional families, education services among others. The organization also is well funded and therefore able to meet many of its objectives, as such it has a richness in human capital, social, natural and financial capitals. They are also based within the slum and most of their staff are residents of Namatala and former street children or children they have supported. They therefore have closer interactions with the community and as such it emerged that they have great strength in human capital where they have a great pool of staff and volunteers that understand the issues that exist in Namatala and are willing to go into the community and cause change. There is also an element of collaborating with other institutions and sharing knowledge.

Table 0-9 Child of Hope capitals

CAPITALS	
SOCIAL	Community link/Business Government approval

	<p>Linked with churches</p> <p>Shares information with other groups</p>
HUMAN	<p>Create information for children to take to their parents</p> <p>Classes for parents in the areas of Business, health and family improvement</p> <p>78 staff members</p> <p>Library services</p> <p>Skills which include, personal business, first aid, medical</p> <p>Welfare</p> <p>Counselling</p> <p>Carpentry</p> <p>Joinery</p> <p>Tailoring</p> <p>Arts and crafts</p> <p>Employed teachers</p> <p>Volunteers</p>
NATURAL	<p>Trees planted</p> <p>15 rabbits</p> <p>4 goats</p> <p>82 ducks</p> <p>Cow for milk</p> <p>Water supplied by an outside supplier</p>
PHYSICAL	<p>Grow rice</p> <p>Supplied food by the community</p> <p>1 main building</p> <p>10 temporary stay housing</p> <p>1 car</p> <p>3 motorbikes</p> <p>Taps for washing</p> <p>Toilet building</p> <p>Books/library</p>
FINANCIAL	<p>Regular funding from friends</p>

(Source: Researcher FGD)

6.6.2 Namatala Community Development Organization (NCODO)

Studies have shown how communities self-organize to demand public services and have praised the collective action of disadvantaged urban communities in pursuit of their development (Apparadurai, 2001; DÇruz, et al., 2009; Mitlin, 2008; Weru, 2004). NCODO is one such community who are using their situation to attract the government to support them and also attract outside partners such as PONT to work with them. They see their greatest capital in their resilience, the membership and the desire to see change within the community they live in. They have an abundance of human and social capital as demonstrated by their responses (Table 6-12).

Table 0-10 Namatala Community Development Organization (NCODO) Capitals

CAPITALS	
SOCIAL	35 members drawn from the community Partnership with Partners Overseas Network Trust (PONT) Regular monthly meetings Links to mental health Uganda Village health teams Phones and emailing for urgent contacts
HUMAN	An array of skills among the members Counselling Entrepreneurship Teaching Construction Arts and craft Poultry Jewellery Plenty of labour many skilled and unskilled youths Ability to choose projects in consultation with the larger community
NATURAL	15 years tenancy agreement for the land with the public toilet
PHYSICAL	Community toilet Information shared via email

	Drinking and sanitation water
FINANCIAL	Income generation from the public toilet Standpipe to sell water

(Source Researcher FGD)

6.6.3 Child Fund

This is a group of like-minded people who in solidarity are trying to come up with home-grown socio-economic solutions to their problems, therefore their greatest capital is social and human capital (Table 6-13). They look out to each other and offer loans that are directed to the needs of the individual rather than what the group assumes. They form accountability groups to make sure that the members' contributions are safeguarded by people paying their loans on time. The savings had grown to a point where the chairperson in a separate interview confessed to needing to bank the collections as it was becoming dangerous to carry the money along.

Table 0-11 Child Fund Capitals

CAPITALS	
SOCIAL	50 people in the organization Third year of operation Involves many people in table banking for savings and investment Willingness to share and exchange knowledge Group celebrations Once weekly meetings

HUMAN	Transport into and out of areas Health workers Self-help groups Manufacture Tailoring Books Trade skills Training the youth in skilled jobs Large labor force Opportunity to train in manufacturing and mechanical engineering Tree planters
NATURAL	Land available for rent
PHYSICAL	Goat rearing Training in manufacturing
FINANCIAL	Use of an office Tents Members buy shares Gives loans and interest used to fund the organization

(Source Researcher FGD)

6.6.4 Youth for a Covenant Mission

This group was unable to attend the FGD, but the researcher met them later in the evening as they were an important part of Namatala as they are mainly composed of youths from Namatala who were born and brought up there both former and current street children. Their greatest capital is human and social (Table 6-14). The peer support they offer each other works as an encouragement to the ones that are struggling and hence it creates resilience in the members. They are therefore beginning to attract partners who are interested in seeing them achieve their goals. This group is an example of urban sustainability through the principle of subsidiarity basing on the place and bearing in mind the uniqueness and the culture of the place.

Table 0-12 Forms of capital Youth for a Covenant Mission

CAPITALS	
SOCIAL	Youth from Namatala Knowledge of the Namatala situation Partnership with the community and outside organisations Peer support and rehabilitation Partnership with churches for behaviour change
HUMAN	Many youths with different skills such as hairdressing Music, arts and craft High motivation among peers Empathy among each other Support from the employed youth of Namatala
NATURAL	Different skills Rented premises within Namatala
PHYSICAL	Some educated youth with skills A functional office
FINANCIAL	Member's contributions Donors in-kind and financial savings

(Source Researcher FGD)

This community has the greatest capital in their story (Table 6-14) as they are part of the coping, adapting, and surviving strategies for Namatala. They have been involved in innovations which have sometimes succeeded and sometimes failed, but as a result they can see their future (Bryant , 2011).

6.6.5 Conclusion

In Namatala the community is involved in most of the third sector community projects and programmes to solve their problems (Ndekha, et al., 2008). The other actors in place towards shaping the characteristics of a slum are the ethnic groups that form the population of the place. The ethnic affiliations and different cultural history and characteristic of a people determine how

the people will group themselves and also shape how they will be approached on different matters regarding their way of life and thus solutions to their unique problems. Consequently, different policies and strategies must be implemented with the uniqueness of the culture, community and place by all the actors

6.7 Non-Governmental Organization’s Capitals

6.7.1 Jenga Community Development Outreach

Jenga’s capital strength is mostly social and human (Table 6-10). There is a great degree of collaboration with other organizations especially churches, this helps them get wide coverage of their activities. The communities they serve, especially the women and the girl child, are active and highly motivated to change their lifestyle.

Table 0-13 Jenga Community Development Outreach Capitals

CAPITALS	
SOCIAL	Churches identification of households Communication with church leaders Networks in the communities Hold parties at the end of the year
HUMAN	Provides women with knowledge on savings How best to use the money to find good health? Provides sports equipment and uniforms Lots of experience, skills and knowledge to share Many volunteers Good leadership Open-mindedness Educated workforce
NATURAL	Land for farming

PHYSICAL	Games area and equipment Buildings for the head office in Mbale and other areas Churches are an information source At the end of the year, gifts are given to communities Provides tuition for the children, buys them books and uniform and provides lunches Provides women with sanitary necessities
FINANCIAL	Support from outside donors Savings groups Pen pals to gain sponsors Necklaces are made and sold by the communities as an income-generating activity

(Source Researcher FGD)

6.7.2 Child Restoration Outreach (CRO)

CRO has its greatest capital strength in human capital (Table 6-11). They have a pool of former Street children that are willing to volunteer to make sure that they offer services to relocate their peers back to their homes and also to help them get an education or a skill. The participants explained how these volunteers go to the streets in the night to recruit and since they are known to the street children, there is an element of trust.

Table 0-14 Child Restoration Outreach (CRO) Capitals

CAPITALS	
SOCIAL	Partnerships with schools both primary and secondary and tertiary institutions Vocational centers Local artisans Child fund projects Mbale referral hospital BUCINET Civil society organization network
HUMAN	Street children Parents and guardians

	25 full-time staff Interns Willing volunteers Leadership Professional experience Passionate workers Open-minded and responsible counsellors Families Located within Mbale Municipality
NATURAL	Sports field Farm Tree planting
PHYSICAL	Rehabilitation centre Two vehicles A bus Shops Clinic Four main centres in Mbale, Jinja, and Masaka
FINANCIAL	Worldwide donors, the United Kingdom, Norway and Germany Income from shops in the city Food relief locally

(Source Researcher FGD)

6.8. Review of combined capacities

Further analysis, (see Figure 6-7) was derived to include all of the information provided by each of the NGOs and CBOs, the summary sheets were tabulated to capture all of the data to show the different capitals existing in Namatala. The intention was to bring out their similarities by grouping similar responses together and ascertaining their differences to see what could be shared and what the organizations are rich in and to capture all of the capacities and the potential or future collaborative working and in comparison, with the SWOT analysis (Table 6-15).



Figure 0-7: Flip charts showing the different capitals for the third sector organizations working in Namatala.

The following is an analysis of the different shared capitals among the third sector groups;

Table 0-15 A combination of the forms of capital existing for the third sector groups working in Namatala

Social	Human Resource	Natural	Physical	Financial
Networks with other organizations	Access to labour	Tree planting	Car	Government grants
Trusted by the public	Seventy-eight staff members	Farming	Three motor Bikes	Local taxes
Sharing of information with other local governments	Library services	Water (outside supplier)	Taps stand	Income from lending out tents
Sharing of information and knowledge with organisations	Individual knowledge experience	Sand for construction	Toilet building	Interest from loans given to the members
Hold weekly meetings	Counselling	Land	Books/Library	Income from shares
Hold parties for members and the staff	Street children	Sport fields	Buildings	Income from savings
Monthly meetings	Parents and guardians		Two vehicles	Donors

Phones and emailing for urgent contact	Twenty-five staff fully time		Three main centres	Business
Community links/Business	Interns			Income from the public toilet
Government approval	Volunteers			Income from selling water
Sharing information with community members	Leadership			Income from rent
	Alumni (CRO)			Fundraising
	Passionate workers			

Source: Researcher

6.8.1 Social capital

The greatest social capital cutting across was that the third sector groups are trusted by the community who aid in data collection and information sharing to determine the area where intervention is needed and that by sharing information to the community, the community gets to appreciate what the NGOs and CBOs are doing and supports them (Otiso, 2003).

The regular community meetings provided good social interactions between the organizations, leaders and members of the community. It also became a time for evaluation of the successes and challenges that the partnerships face during the year. However, there was need for improvement in collaboration and information sharing, this would reduce on duplication of activities, for example CRO was resettling children and so was Child of Hope. All the NGO s were involved in education and income generating activities for parents. If there was networking it would be possible to share strengths and weaknesses among the groups and each group would be able to find its Niche and concentrate on it, financial resources would be saved or shared to bring out greater results.

6.8.2 Human Capital

The organizations, both CBOs and NGOs have knowledgeable and experienced teams in counselling, finance, social work, public health, construction among others that know what is beneficial to the community and the organization. The availability of many interns composed of former street children, alumni, parents and guardians provides the organizations with cheap and available labour which makes it cheaper for the organizations to function and in return, the internees acquire practical skills and knowledge. Volunteers/ passionate workers offer expert services to the organizations and sometimes bring in donors to the organization. There is therefore new knowledge that is brought to the organizations and a willingness to learn and implement new skills.

6.8.3 Finance Capitals

Some organizations give out loans to their members and in return, the members pay interest, this interest serves as income to the organization. The savings and shares also act as sources of income for the organization. Well-wishers and friends contribute funds to implement organizational projects, the donors both local and international are the major sources of income for most of the organizations working in Namatala.

6.8.4 Physical capital

The organizations that have assets can use them to raise funds and for ease of performing their day-to-day activities these assets include cars, motor bikes, tap stands, toilet building, books/library buildings, and vehicles. For collaborating projects, these resources could easily be shared in order to increase efficiency.

6.8.5 Natural capital

The natural capitals include land for farming, sports field, water and farming activities, these natural capitals can be used for sports, agriculture, recreation, and other organizational activities for raising funds. The CBOs and NGOs could share these natural capitals as acquiring them would be expensive and tie down much needed funds for sustainability purposes.

6.9 Conclusions

It was evident that the third sector groups in Namatala together, have a combined capital that is capable of driving sustainable development, however, there is need for them to network with each other, share information and pool resources in order to achieve more than what was already in place, because resources would be shared, especially the human resource, and duplication of activities would be reduced in order to release much needed capital into other areas of strength. Each of the organization listed human capital as their strongest, (Table 6-15). The desirable outcome for the attainment of sustainable cities is constituted by the outcomes in the form of interactions between the government and the third sector groups (Glennie, et al., 2012). Because organizations do not operate in a vacuum or in ideal situations, there are several factors that act to intervene or moderate the place specific situation thereby affecting the outcomes (Chaskin, 2001). These factors include the place itself in relation to the demographics, the social, economic, environmental and cultural dimensions, policy frameworks, human resources and the ability of governments to implement the interventions. There is need for interaction of human capital, organizational resources, and social capital in Namatala, that can be used to promote community interests (Chaskin, 2001). The promotion of urban development should be a holistic process involving all actors in the activities in which they are most effective (UN-HABITAT, 2003).

Broadly speaking, sustainable development may be described as a process for improving the range of opportunities that will enable individual human beings and communities to achieve their aspirations and full potential over a sustained period, while maintaining the resilience of economic, social and environmental systems (Munasinghe, 2002). Expanding the set of opportunities for system improvement will give rise to development while increasing adaptive capacity will improve resilience and sustainability. In the recent past, preserving cultural diversity and cultural capital, strengthening social cohesion and networks of relationships, and reducing destructive conflicts, are integral elements of this approach (Ministry of Urban Development, 2015). For Namatala the cultural diversity and social cohesion aspects promise rewards and need to be investigated further, the smart cities scenario could be used to apply in the context of Namatala bearing in mind its specific peculiarities. A reanalysis of strengths, weaknesses, opportunities and threats for the collective Third Sector and Government partnerships are summarized in the Table 6-16:

Table 0-16 Chapter 6 SWOT analysis

Sustainability pillars		
Social	Strengths	<p>Willingness of the community to take own initiatives to solve their own problems</p> <p>Ability of the community to understand the complexity of economic, social, and environmental interactions within the slum</p> <p>The peer support offered by CBOs works as an encouragement to the ones that are struggling that they will make it, it creates resilience in the members</p> <p>Pool of staff and volunteers that understand the issues that exist in Namatala and are willing to go into the community and cause change</p>
	Weaknesses	Need for organization of the human capital, organizational resources, and social capital in Namatala
	Opportunities	<p>Many third sector groups working in Namatala</p> <p>Ability for all actors to consider solutions that are socially, economically, environmentally, and politically acceptable.</p>

		<p>The government provides licensing for organizations to be able to run their activities legally.</p> <p>The people-centred approach, which is more participatory, more flexible, adaptable and holistic, improves on the efficiencies of the third sector groups</p> <p>Mindset change</p>
	Threats	<p>Social support that would supplement on government initiatives to promote holistic growth of the people is very low</p> <p>Limited assistance from the government and sometimes delays in implementation of programmes that need government permission because of the change in the political arena every five years</p>
Economic	Strengths	<p>Availability of human capital that is able to contribute to economic growth through its participation in the processes of creating goods and services</p> <p>Lifelong learning and community-initiated job creation</p>
	Weaknesses	<p>Lack of necessary attention to the existing human capital</p> <p>Economic shortages</p>
	Opportunities	<p>Many policies available on poverty eradication</p> <p>Government grants to the youth available</p> <p>Training for the groups in group dynamics, teamwork, business skills, record keeping, leadership skills, savings and credit.</p> <p>Encouragement of the saving culture</p>
	Threats	<p>Corruption</p> <p>Decentralization leading to inability of local governments to support communities</p> <p>Land tenure system is inadequate</p> <p>Failure by the governments to recognize the role played by informal settlements in urban development</p> <p>The role of communities in mobilizing funds for the development of the locals lacks support.</p>
Environmental	Strengths	<p>Awareness by the community of their need of a safe environment</p>
	Weaknesses	<p>Lack of capital to implement environmental improvement</p>
	Opportunities	<p>opportunities for environmental improvement in waste management, drainage, tree planting for shade, fuel and food</p>

	Threats	Land owned by landlords in small portions thus causing inability by government to offer services
Cultural	Strengths	Namatala is rich in culture considering the different ethnic groups represented and considering the uniqueness of each culture Cultural community leaders Capital in cultural knowledge Cultural groups step in to self-organize to solve their problems. Communities are involved in all the consultative meetings and are made initiators, custodians and owners of their activities
	Weaknesses	Lack of appreciation of cultural elements and differences
	Opportunities	Opportunities to build cross cultural understanding for place-based solutions to sustainability Opportunities to celebrate cultural differences to enhance community well-being
	Threats	Political interference The third sector groups need to identify positive cultural practices for sustainable development

(Source: Researcher)

From the foregoing results, it is evident that addressing issues such as health care, low-income housing, and economic development often involves building inter-sectorial partnerships (ISPs) relationships between organizations (Wandel & Brown , 1997). Networking and sharing of resources will help organizations to maximise their collective capital (strengths) and help to overcome their limitations (weaknesses). Sustainable development and poverty alleviation can come from their opportunities and from overcoming the threats/barriers. Many of the solutions are going to involve training, finance and governance which should be facilitated by the local authorities as partners. Some interventions already exist in Namatala and there is need for data capture to ensure that the interventions are achieving what they set out to do and to avoid duplication. In this way, the third sector groups will work together with the residents and government agencies to attain the needed outcomes. The collaborators can then aid in informing

policy by working hand in hand with the government (Bratton, 1990) thus there is a need for reliable data.

Governments can pursue development in partnership with the private sector. to bring about urban changes while setting the context for urbanisation and growth in genera (Annez & Buckley, 2009)The Government of Uganda has put in place a number of legal and policy measures to address unemployment, such as: the National Youth Policy, the National Employment Policy for Uganda; the Skilling Uganda Strategic Plan 2012– 2022; and the National Youth Council – all of which provide a framework for engagement and employment especially for the youth (Republic of Uganda, 2016).

Seventy percent of the National Development Plans (NDP) which have been the guiding framework for national development every five years are aligned to the SDGs. However, SDGs on poverty, hunger, education, clean water and sanitation, affordable and clean energy, sustainable cities, life on land and peace and justice Uganda's performance are stagnating and struggling to meet the growth rate needed to achieve the SDG by 2030 (National Planning Authority, 2017).

CHAPTER 7: CONCLUSIONS, RECOMMENDATIONS AND FUTURE WORK

7.1 Introduction

The study aimed at first, examining the form and evolution of Namatala as a place, second, explaining the social, economic and environmental factors at play in the making of Namatala, thirdly, critically appraising international, African, national and municipal urban policies and strategies designed for the development of Namatala and lastly assessing the contributions of community-based organisations and third sector groups in dealing with the problem of slums development in Namatala through a place-centred approach.

To do this, four audits were performed on Namatala slum: an urbanization audit, a baseline slum survey audit, a policy audit and a community stakeholder and capacity audit. The urbanization audit measured and defined the physical delineation and development of Namatala by measuring the urban growth, urban infill, and urban change of the slum. The baseline slum survey audit, on the other hand, was an assessment of the profile of the slum by examining and analyzing the social, economic and environmental issues affecting the residents of Namatala slum. Analytical techniques such as cluster analysis were used to bring out the nature and relationships that exist in Namatala. The policy analysis audit was a secondary analysis of the international urban policies, the Ugandan national urban policy and the Mbale Town policy and plans as they address the issues affecting Namatala slum by critically considering the objectives, context and limitations of formal policy, with specific respect to development in Namatala. Finally, the community, stakeholder and capacity audit evaluated the ideas and solutions involving all stakeholders concerned with Namatala slum right from the households (Creswell, 1998) and considered the importance of capacity and networking for future development, specifically for Namatala. This chapter draws together the conclusions, recommendations, and future work of these audits for sustainable development.

7.2 Conclusions

7.2.1 The urbanization audit

The main aim of the urbanization audit was to examine the form and evolution of Namatala. The results of the urbanisation audit showed that Namatala is experiencing both infill and sprawl as well as some upgrading of housing quality in most cells. The study found that all zones are experiencing different levels of growth with the core of Namatala experiencing the highest growth rates whereas peripheral areas are facing reduced amounts of growth.

The urban audit portrayed the gentrification of slums and the intensification of housing in slums. Contrary to expectation, this study found that, in most zones, majority of the dwellings in the study area both in the year 2003 and 2013 were houses and not huts. There was a percentage increase in the ‘Houses’ that had tin or tiled roofing and a marginal percentage decrease in the number of huts in the zones ringing the boundary of Namatala. The periphery of Namatala appeared to have few ‘Huts’ and more houses. There was a significant comparative reduction in the proportion of round huts in most areas indicating gentrification. The number of houses within Namatala increased with the core the area experiencing the highest growth rates whereas peripheral areas faced reduced amounts of growth. Only a section of the entire area, zone 9 and 10, could be labelled as a slum in tandem with the characteristics attributable to a slum, covering the study area. The study therefore found that there was intensification rather than “extensification” of housing in Namatala indicating more urban infill of the informal settlement and less urban sprawl.

7.2.2 The baseline slum survey audit

The baseline slum survey audit aimed at assessing the degree of interconnectivity between the social, economic, cultural and environmental variables in Namatala, their relative

importance, and the significant challenges that impact on sustainable development. The results baseline survey audit, using cluster analysis, found several relationships within variables. These included linkages between wealth and asset ownership, tribal ethnicity and education levels, family size, food availability, house type and tenure. Environmental and neighbourhood patterns related to crime while waste management was linked with household income and length of residence. Illnesses were linked to ethnic groups and cells. For example, there are higher incidences of malaria and diarrhoea in Mvule cell, which is dominantly the abode of the Itesot and Karamonjong tribes, than in the other cells. This was attributed to the lack of clean water sources in the area, the inability of households to afford water, poor drainage, a lack of latrines and cultural preferences for human waste management, thus causing illnesses. This correlation could be used to advocate for socio-cultural transformation in Namatala. With the understanding of these relationships, social capitals that exist could be harnessed through participatory community development, to improve livelihoods in Namatala slum.

The discrepancies between income and expenditures were explained by the undocumented informal sector (Maliyamkono & Bagachwa, 1990) and the fact that failures by the government in service provision was being supplemented by the different third sector groups that were working in Namatala. For example, NGOs were providing education and health services; religious institutions were offering healthcare and food. The community and the third sector groups work together as part of Namatala's capital, to make Namatala slum a hopeful place.

7.2.3 The policy audit

The main aim of this audit was to appraise international, African, national, and municipal policies, for place-based approaches in their policies and strategies. Though the policies in Uganda cover a wide scope, this audit mainly appraised their application to Namatala. The study found

out the following; firstly, that international policies that scaled down to local policies emphasized adherence to policies in sorting out urban problems. However, local policies showed that there are limited government interventions in slums and Namatala in particular. Third sector groups in collaboration with the locally elected local government officials were found to be largely involved in service provision in Namatala. National governments, Uganda included, were found powerless to overcome Neoliberalism and international forces that oftentimes dictate how they should go about managing their situations. Secondly, the study also found that despite the fact that, Uganda had good policies, largely borrowed from international policies, the development of these policies is normally funded by international bodies and once the funds are spent, the policies are shelved and not implemented. There is also the influence of corruption and lack of political will to implement them.

The review of Uganda Urban policy shows that Uganda has undertaken steps to create policies that aim to achieve coordinated, efficient and environmentally sound social economic development and to secure proper land use and spatial planning. The Government of Uganda has approved physical Development plans (PDPs) to guide planning and offered technical assistance to the local governments in matters of physical planning (Ministry of Lands Housing and Urban development, 2003). The policies are in place but they are either not effective, are inherently weak or are not comprehensive enough to guide planned urbanization from a multifaceted perspective of the dynamics underlying this process. Efforts have also been made to incorporate the sustainability principles of subsidiarity, participation and collaboration into the main government policy documents in the areas of environment, economic, social and cultural sustainability. These policies have had an immediate degree of success, followed by a subsequent dip (Robinson, 2007). Gaps in the policy environment exist (Brown, 2013)

The government has however been unable to effectively implement these policies due to inadequate human resources and corruption (Brown, 2013). Ensuring subsidiarity, participation

of stakeholders and collaboration in the policy process has been challenging. These findings concur with the argument that the legal framework in place to guide Kampala's urbanisation is generally not effective enough to deliver the city's urbanisation in a planned manner because it is inherently constrained by a number of weaknesses as presented above (Bidandi, 2015). The informal settlements that characterise Kampala's urbanisation are as a result of weaknesses in the city's technical or structural plans (Bidandi, 2017), the technical planning of Kampala's urbanisation focuses on developing physical plans to guide urbanisation, which are too rigid to respond to the changing needs of the market and in particular to be flexibly aligned to the fast globalising trend. Chapter 6 examines in more details the role of each of the actors in the slum especially the third sector groups, in implementation of the urban policies in Uganda with special emphasis on the slums basing on Namatala as the place.

7.2.4 The community, stakeholder, and capacity audit

Finally, the community, stakeholder and capacity audit evaluated the role of all stakeholders in addressing the specific problems affecting Namatala. These were community-based organizations (CBOs), NGOs, ethnic groups and third sector groups. The study found that several CBOs existed in Namatala including the Child Fund, the Namatala Community Development Organization (NCODO) and the Youth for A Covenant Mission (YFAM). The study found that CBOs lacked resources to meet the challenges of the slums adequately. Often, they had to rely on ad hoc provisions from NGOs that use them for outreach in the areas where they (NGOs) do not have adequate presence. The result of this is that the CBOs had to depend on the general community to fundraise for their core activities. Few of them will achieve much impact from such limited funds (Opare, 2007).

Recognizing these shortcomings of the government, other actors, the third sector, especially non-governmental organizations (NGOs) and civil societies have come in to fill the gaps left by the efforts by the government. In Namatala some of the NGOs involved in the community are Child of hope (CoH), Njenga and Child Restoration Outreach (CRO). An analysis of the roles they played and the services they offered indicated that they mainly dealt with relief and welfare, capacity building and advocacy. The third sector groups were found to play an important role in Namatala by extending their interventions into the provision of health, education, housing and credit services to the slum dwellers. They have stepped in as the main service providers in the slum where the government has failed to perform its duties to the citizens.

The other actors that shape the characteristics of Namatala slum are the ethnic groups that form the population of the place. The ethnic affiliations, with different cultural history and characteristics, determine how the people are grouping themselves and shaping how they could be approached on different matters regarding their way of life and thus solutions to their unique

problems. Culture serves to inform place specific interventions for the Namatala slum (Jeannotte, 2003). The cultural strengths can be used to strengthen sustainability solutions and the weaknesses will be used to understand where interventions are required and in what way for example, the solution for the sustainability problems in Mvule cell might not be necessarily better housing but improved livelihoods for the households. The cluster analysis was effective at unravelling these insights and separating the strands of sustainability and how they fit into each other. Consequently, different policies and strategies should be implemented by all the actors, considering the uniqueness of the culture, community and place.

From the SWOT analysis, the majority of the organisations for both the CBOs and NGOs identified their capitals and strengths as the availability of human resource especially from the community itself. These are the people that well understand their situation and are therefore able to advice and also put in effort. They have a pool of former street children that are willing to volunteer to make sure that they offer services to their own community, thus having an understanding of the differing needs of the different cultural groups in Namatala. In the weaknesses most organisations cited lack of enough resources to manage their activities. Most of their opportunities included training and involvement of the local community. It was clear that there was duplicity of activities within the NGOs with the resultant inadequacy of funds for the organizations to meet their objectives. There is therefore need for capacity and networking solutions for improving sustainable development solutions in Namatala.

7.3 Recommendations

7.3.1 Policy Recommendations

The problem of slums in Namatala and Uganda as a whole cannot be blamed on lack of policy but can largely be attributed to a lack of implementation of the policies and guidelines. It

could also be because of uncoordinated intervention by the third sector groups. There is, therefore, need for a place-based intervention that would tap into the already existing policy instruments and actors and bring them to play with the intended recipients bearing in mind the culture and the environmental, economic, and social situation of the slum. Working through the community and the third sector in Namatala, there is opportunity to improve the process of sustainable development and improve the quality of life and livelihoods, by understanding the complexity of economic, social, and environmental interactions within the slum, and to consider solutions that are socially, economically, environmentally and politically acceptable.

A way forward is to look at exploring how the community groups can step in to self-organize to solve their problems. Part of the solution will be to enable people to see the linkages and consequences of how they organize themselves, their finances and manage their environment, for example with health and income/expenditure impacts, so that they see a need to reduce bad and unproductive practices. There has been growing policy attention on culture (Hawkes, 2001; Pascual, 2009; Nadarajah & Yamamoto, 2007). Cultural considerations should be incorporated into plans and processes to build sustainable cities and communities. Since culture is diverse and evolving, intercultural realities and relationships must be in cooperation to pursue sustainable cities. Culture should be viewed as capital, a way of life that interacts with the environment, a central binding element and as a creative expression. Namatala is rich in culture considering the different ethnic groups represented and considering the uniqueness of each culture. This can be harnessed for sustainability purposes to create a culture specific development that is participatory and bottom up. The social fabric of the people of Namatala would then determine the place specific interventions to deal with social, economic and environmental issues that are at play in Namatala for sustainable development. The subsidiarity principle suggests that people closest to the problem are the ones with the strongest moral claim to finding a solution, therefore, subsidiarity is particularly asserted by the cultural component of sustainable societies, which

would emphasize the contribution of the individual by providing the necessary conditions for the individual to prosper (King, 2014).

The study proposes the following recommendations to explore opportunities for sustainable development in Namatala and to assess the potential for new sustainable development opportunities considering cultural, social, economic and environmental elements and slum solution models.

Uganda requires a national strategy for slum improvement as a direct response that effectively addresses the lack of reliable data/information on the extent of slums, characteristics of slums, their causes and how they function.

Slum improvement in Namatala should be done in a sustainable and replicable manner and undertaken within a framework that is inclusive and responsive to local culture and conditions while involving the considerable energy of the slum dwellers and their representative organizations. At the same time, it must be broad and conducted as part of a city and a national plan that institutionalizes the activities in a continuous rolling improvement, conducted within the scope and full legitimacy of the existing political system.

Scaling up slum improvement is essential in order to match with the growing slum population. This will require substantial financial resources that the central and local governments may be lacking thus participation or involvement of other actors is crucial for such development vision to be realized (World Bank, 2005). The actors in such activities should include: the national government, international organizations, local governments, the residents, private investors, NGO's, the media, civil societies and international developers (Bebbington, et al., 2008).

The government should ensure that relevant laws and policies that impact on slum and slum management in the country are adequately rationalized and harmonized, to support well-

functioning of service delivery in the municipalities (Ministry of Lands Housing and Urban Development, 2008). Often the lack of enforcement of appropriate enabling frameworks, weak political will, and the absence of the means for public engagement compound the situation.

There is need to improve and strengthen the capacity of national and local authorities in order to enable them to carry out their responsibility of provision of public services and to rid corruption.

Mbale Municipal Council could develop its skills and capacity to undertake economic, social and cultural leadership in service delivery and enactment of policies that are place-specific for slums in Mbale, Namatala inclusive. It is necessary to develop bylaws and regulations that cater to the needs, security, comfort and economic activity that is best suited for the urban poor in the developing regions rather than borrow directly from experience in developed countries.

The communities should be helped to access information and to be able to negotiate with local authorities and utility companies to define solutions that meet their place specific needs. This, in Namatala, has been seen to bring other broad social benefits for the community, such as reduced violence.

Stakeholders and the third sector working in Namatala must work together, draw strengths from each other and cover each other's weaknesses to work on the place improvement of Namatala within the set government policies but unique to Namatala's cultural, economic environmental and social disposition for sustainability. Networking and sharing of resources will help organizations to maximise their collective capital (strengths) and help to overcome their limitations (weaknesses). There is a need for deliberate effort on equity, empowerment, and engagement as a way forward.

A way forward is to look at exploring how the community groups can step in to self-organize to solve their problems. Part of the solution will be to enable people to see the linkages and

consequences of how they organize themselves, their finances, and manage their environment, for example with health and income/expenditure impacts, so that they see a need to reduce bad practices such as poor waste management practices and excessive intake of alcohol.

Ensuring sustainable development involves the implementation of economic, social, cultural and the environment alike. The local third sector organisations should therefore, consider a major program of partnerships and integration to develop a ‘community hub’ network with all representatives and a significant portfolio of local action. The human factor contributes to economic growth through its participation in the processes of creating goods and services, so increased attention on human capital is essential.

In all the above, cultural knowledge should be viewed as capital, a way of life that interacts with the environment, a central binding element and as a creative expression. It should be placed in all public policies, particularly those related to education, the economy, science, communication, environment, social cohesion, and international cooperation (UNESCO, 2015). It should be integrated as a tool to build bridges and because the depth of culture varies, the focus should be on building cross-cultural understanding (Kuttner, 2015). This aids in the evolution of community wellbeing and quality of life for sustainability.

7.3.2 Recommendations for future research

Slums have been in existence since the beginning of urbanization and are therefore, an inevitable part of modern urbanization and the choice, therefore, is to decide the vision for the slum of the future, the role of the slum, its design and purpose and how it can be transformed to create assets rather than liabilities (Brown , 2012). In order to assess the potential for new sustainable development opportunities for slums, Namatala included, there is need to consider further research on cultural, social, economic and environmental elements that are place specific

and how they work together to create sustainable cities. Research can be done on the social fabric of the people of slums including Namatala to determine place specific interventions that would deal with social, economic, cultural and environmental issues that are at play in the places for sustainable development.

Further research could be done in profiling Namatala not only on the population but on who the landlords are, the community leaders and for all the four sustainability elements including the social, environmental cultural and economic setup of the slum, directed at finding a buy-in for sustainable solutions. For example, this should include the improvement of environmental management through activities such as tree planting and for finding strategies to improve sanitation and waste collection. The cultural orientation and ethnic groups of the community should be prominent in the research.

Research could be carried out on the role of local government in grassroots development through looking at the resource limitation. The objective should be in resource prioritization through policy, legal and administrative frameworks. A realization of the resource constraint, and how the government can potentially prioritize, and how effective this would be for the population.

Research could be carried on enhancing income-earning opportunities through training and micro-credit. The question would be on how training and job creation could be a priority and how to strengthen self-help training in job creation by including the linkages of the four sustainability elements of economic, social, cultural and environmental in line with the needs in Namatala.

Research on how the community groups and third sector organizations in Namatala can support themselves to achieve a more sustainable future and the kind of policy and laws that can be enacted to make a place intervention possible, is required. There is a need to consider how to

move Namatala forward. What is the future for solutions for Namatala? What are other areas doing? What is good practice and what could be transferred across to Namatala to support holistic sustainable development? How do we bring in bottom-up agreements by avoiding pitfalls experienced elsewhere?

Future research could also be on ideas to support and further consider the development of a Hub network of CBOs and NGOs in association with local government to prioritize and deliver future projects. The hub can work on objectives of how it should be the most effectively structured, how it should work and listen to grassroots, how effectively policies are working at the moment, and what effective governance should be used for it to thrive. Research should further be on how best it can happen and how it can be developed for sustainability with specifics for building social capital and the institutional framework to sustain improvements. Research could be on gauging interest for how collaborative working should be moved forward.

There is need for substantial research that tries to offer alternative and sustainable means of slum and informal settlement improvement in Ugandan slums through public policies to guide and accelerate their improvement and by considering bottom-up multi-stakeholder involvement than the 'top-down government approach. Such interventions already exist in Namatala and there is need for data capture to ensure that the interventions are achieving what they set out to do and to avoid duplication.

Research on cultural diversity is essential in order to establish how it is celebrated and how it can potentially be used as a driver for economic development and the community's well-being. Identifying the questions that need to be asked in specific reference to Namatala as a place, bearing in mind its ethnic diversity, with its strengths and weaknesses, and how best to harness the good out of it.

This work has potential for wider application, for academic institutions to consider how smart cities can be developed, especially in the developing world, with place specific interventions that consider the specific peculiarities of the particular location. This could be rolled out, not only in slums, but in other areas with the intention of tailor-making the interventions to accommodate the place for sustainability and well-being.

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APPENDICES

Appendix I: Questionnaire

Dear Respondent

This questionnaire is designed to the study of developing a place-centred approach to sustainable development solutions for Namatala slum, Mbale municipality, Uganda. The information collected will help to analyse social, economic, environment and cultural status of the people in Namatala and bring to light the subsequent impact caused by social, economic environmental and cultural practices. The results of the study will contribute to development of strategies for improving social economic status of the people and also ensure growth and development of the community without compromising the environment. You have been identified as a key stakeholder in Namatala with a good understanding of the social-economic and cultural background of the people. I kindly request you to respond to the questions frankly and honestly. Your responses will be kept strictly confidential. Only the research team will have access to the information you give. Please spare about 15 minutes of your time to respond to the questions in the questionnaire according to the provided instructions. A summary of the results will be sent to you after the data are analyzed.

Thank you very much for your time and cooperation.

MARY N. G. MANANA

Researcher

Identification			
Q01.	Parish	Name:	Q04. Date of survey: _____
_____			Q05. Household number: _____
Q02.	Cell	Name:	

Q03.Name interviewer(s)_____	of
---------------------------------	----

Household Data				
	Question			Tick
Q06	Are you the head of the household	1	Yes	
		2	No	
Q07	What is your age	1	Below 18 years	
		2	Between 18 years and 30 years	
		3	30 to 40 years	
		4	40 to 60 years	
		5	Above 60 years	
Q08	Gender	1	Male	
		2	Female	
Q09	Education level of the household head	1	None	
		2	Read and write	
		3	Primary school	

		4	Secondary school	
		5	Higher education	
Q 10	Location or district where they grew up	1	Namatala	
		2	Mbale	
		3	Other: Name of location _____	
Q 11	If not grew up in Namatala then length of time living in Namatala	1	More than 10 years	
		2	2 to 10 years	
		3	less than 2 years	
Q 12	Number of household members (Only those who are alive and living with the household on the date of the survey)	M		
		F		
Q13	Number of children under 18 (Only those who are alive and living with the household on the date of the survey)			
Q14	Number of adults			

	(Only those who are alive and living with the household on the date of the survey)		
Q15	Total Number of guests (Only those who are alive and living with the household on the date of the survey)		
Q16	Where else have you lived?		
Q17	What is your ethnic group?		

Summary about the adults living in the house and their jobs/employment:

Person		Do they earn an income? (Y/N)	Main job/income	Other jobs/income List for each
You	----- -----			
Partner/wife/husband	Y/ N			
Other adults living in the house	How many?			

Summary of how many children live in the house and how many attend school:

Boys 0-4	Boys 5-11	How many of these attend school	Boys 12-17	How many of these attend school
Girls 0-4	Girls 5-11	How many of these attend school	Girls 12-17	How many of these attend school

Environmental factors			Tick	
Q18	What is the main source of drinking water		Piped water connected to residence (home or yard)	
			Public tap/standpipe	
			Borehole	
			Open, unprotected, uncovered well	
			Protected or covered well	
			Protected spring	
			Unprotected spring	
			Covered rainwater collection tank	
			Open rainwater collection tank	
		0		Water delivery truck

		1	Bottled water	
		2	Unprotected surface water (valley, running spring, river etc)	
		3	Others - specify	
Q19	Type of toilet used by the household		Latrine - pour flush latrine connected to a pit, septic tank or to a sewer line	
			Latrine - VIP (Ventilated Improved pit)	
			Toilet - simple dry pit - covered	
			Toilet - simple dry pit - uncovered	
			Outdoors - open defecation	
			Others - specify	
Q20	How do you keep household garbage?		Containers with cover	
			Containers without cover	
			Plastic bags	

			Throw in the street	
			Others - specify	
Q21	How do you dispose of your garbage?		Garbage collector	
			Dumping in designated place for garbage, like a pit	
			Burning	
			Throws in the street	
			Others - specify	
Q22	Do you have solid waste piles near you?		Yes	
			No	
Q23	How frequently is the solid waste collected		Once every week or more	
			Every two weeks	
			Every month	
			Never collected	
Q24	Do you have stagnant or sewage water near you		Yes	
			No	
Q25	Do you have open space for recreation?		Yes	
			No	
Q26	Where do you cook from		Inside the house	
			Outside the house	

Q27	What do you use for cooking		Gas stove	
			Charcoal stove	
			Brickets	
			Saw dust	
			Firewood	
Q28	What do you use for lighting		National grind electricity	
			Solar power	
			Kerosene lamps	
			Home -made kerosene tins	
			other	
Q29	How many rooms does your house have?		One room	
			Two rooms	
			More than two but less than five	
			More than five	
Q30	How many windows does your house have?		One window	
			Two windows	
			More than two but less than five	

			More than five	
Q31	Are there any tree planting activities within your area?		Yes	
			No	
Q32	Does everyone (at the walking age) in the house own a pair of shoes		Yes	
			No	
Q33	Do you carry out recycling of plastic?		Yes	
			No	
Q34	Do you carry out composting of cooking waste, animal manure, and plant waste?		Yes	
			No	
Q35				

Social factors				Tick
Q36	What recreational activities do you engage in?	1	Video halls	
		2	Community football	
		3	Traditional beer drinking	
		4	Religious activity	
		5	Other	
Q37	Is there a primary	1	Yes	

	school in your cell?	2	No	
Q38	Is there a secondary school in your cell?	1	Yes	
		2	No	
Q39	Is there a government health center within your cell?	1	Yes	
		2	NO	
Q40	Has any adult living in your house had any of the following conditions in the last year (tick all that apply: diarrhoea / malaria / cholera / others common to add / other)	1	Yes	
		2	No	
Q41	Has any child living in your house had any of the following conditions in the last year (tick all that apply: diarrhoea / malaria / cholera / others common to add / other)	1	Yes	
		2	No	

Q42	Is there a private clinic within your cell?	1	Yes	
		2	No	
Q43	When you fall sick where do you seek medical help?	1	At the main government hospital in Mbale town	
		2	At the government facility nearby	
		3	At the private clinic nearby	
		4	I buy medicine at the shop/chemist	
		5	Other	
Q44	How many meals do you have every day?	1	One	
		2	Two	
		3	Three	
		4	Four/Five	
		5	None	
Q45	At what times do you have your meals?	1	Breakfast	
		2	Lunch	
		3	Supper	
		4	All the three above	
Q46	Have they been	1	Yes	

	affected by crime? (y/n) If yes what?	2	No	
		3	If yes.....	
Q47	Are there any Community Groups, Associations or Cooperatives that support them? (Y/N) If Yes, who?	1	Yes	
		2	No	
		3	If yes -----	

Economic factors				Tick
Q 48	Which of the following economic activity are you engaged in	1	Employed	
		2	Retailer	
		3	Hawker	
		4	Market vendor	
		5	Other	
Q 49	Who owns the land you live on?	1	Government	
		2	Landlord	
		3	Self	
Q 50	Who owns the house you live in?	1	Government	
		2	Landlord	

		3	Self				
51	Q How much income do you earn per month	1	Less than Ugshs 100,000				
		2	Ugshs100,000 to 200,000				
		3	Ugsh 200,000 to 500,000				
		4	Ugshs 500,000 to 1million				
		5	More than 1 million Ugshs				
52	Q How much do you spend on the following per month		≤50,000	50,000 to 100,000	100,000 to 200,000	200,000 to 500,000	500,000 to 1million
		Rent/Lease					
		Food					
		Medicine/hospital					
		School fees					
		Transport					
		Electricity/charcoal/Gas					

	Clothing					
Q 53	Do you do any other income?					Tick
		1	Yes			
		2	No			
Q 54	What type of house do you live in	1	Tin roof with brick wall			
		2	Tin roof with mud wall			
		3	Grass thatched with mud wall			
		4	Bamboo thatched with mud wall			
		5	Tin walls and roof			
		6	Other			
Q 55	Which of the following household equipment do you possess					
	Television set					
	Sofa set					
	Radio					
	Computer					
	DVD					

	Mobile phone	
	Refrigerator	

THANK YOU

Appendix II: Observation Checklist

DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE
DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY,
UGANDA

Cell:

Observer:

Date of Observation:

Complete this observational checklist

Describe the environment:

Record short responses in the space provided.

Approximate age of population	
Number of individuals per household	
Availability of toilets	
Main water source	
Availability of tap water	
Main Economic activities	
Waste disposal	

Main items being sold in the market	
Availability of community-based organizations	
Places of worship	
Availability of health centers or hospital	
%Of population using electricity	
Types of housing units	
Influx of modern settlements	
Availability or lack of furniture in houses	
Accessibility of housing units by road	
Waste disposal methods	

Appendix III Focus Group Discussion Questions Community leaders

DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY, UGANDA

Purpose of the focus group discussion

To obtain thoughts and experience on key issues relating to solid waste management, sustainable environmental use, living conditions and economic situations

To gather information that supports in explaining and understanding the findings from the questionnaire-based survey.

Seek input from the community leaders towards improving environmental and social economic and cultural conditions in Namatala.

Section 1: Solid Waste Management

Describe the various types of solid waste in this cell.

How the solid waste is temporarily packaged in the households before disposal?

How solid waste is temporarily managed before collection?

Where do households dispose-off garbage?

Who manages the containers?

Comment on the effectiveness of government owned solid waste collection container

Comment on the effectiveness of privately owned solid waste collection container

Comment on the willingness of people to pay for the privately owned solid waste collection container.

Comment on the willingness of people to participate towards the maintenance of government owned solid waste collection container

What has been the effect of poor waste disposal in this cell?

How best can government ensure effective solid waste management in this cell?

Section 2: Sustainable Environmental Use

What would you say about the level of tree planting in this cell?

What are the commonly used types of cooking materials in this cell?

What are the commonly used source of lighting in this cell?

How are swamps used in this cell?

Where have people in your cell constructed

Section 3: social Factors

How do men spend their leisure?

How do women spend their leisure?

How do children spend their leisure?

What are the most common conflicts / violence in this cell?

What are the causes of the common conflict / violence in this cell?

How are conflicts / violence managed in this cell

Comment on the attitude of parents towards supporting the education of their children

What approaches are often used in disciplining children in this cell?

Section 3: Living condition

Comment on the adequacy of accommodation at household level in this cell.

On average, how many meals do households in this cell have in a day?

What are the commonly consumed types of foods during those meals?

What is the condition of schools in this cell?

What is the condition of the health facilities?

Section 4: Economic Condition

What do most people do for a living in this cell?

Are people in this cell willing to take up the available jobs at their exposure to sustain a living?

How do people spend the money they earn?

What activities greatly drive household expenditure?

What valuable assets do most households in this cell own?

What would you comment about the contribution of Non - Governmental organizations towards improving the livelihood of people in this cell

What would you comment about the contribution of government towards improving the livelihood of people in this cell?

Any other comments?

Appendix IV Focus Group Discussion; Organizations working in Namatala

DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY, UGANDA

Purpose of the focus group discussion

To obtain thoughts and experience on key issues relating to capacities and capitals of the third sector groups working in Namatala

To gather information that supports in explaining and understanding the findings from the questionnaire-based survey to include social, environmental, economic and cultural aspects affecting the community in Namatala.

Seek input from the organizations towards Sustainable development in Namatala including a SWOT analysis of each organization as it relates to Namatala

Background information

Name of the organization.....

CAPACITY ANALYSIS

How are the organizations recognized?

How are they funded?

How are they perceived from outside?

How effective are they?

How visible or invisible are they?

Do they cooperate with other groups?

Do they network? Do they have support?

Are there conflicts between different groups?

Who in Namatala genuinely does not participate in groups and why?

What are the barriers to participation?

SOLUTIONS TO ISSUES

Solid Waste Management, in relation to

Disposal and the willingness of people to pay for the privately owned solid waste collection

Sustainable Environmental Use; in relation to

Tree planting,

Cooking materials,

Source of lighting

Type of houses

Social Factors;

How the residents spend their leisure.

The most common conflicts / violence and their causes,

Comment on the attitude of parents towards supporting the education of their children

Living condition;

Comment on the adequacy of accommodation at household level,

How many meals households have in a day?

What are the commonly consumed types of foods during those meals?

The condition of schools and the health facilities.

Economic Condition;

What do most people do for a living?

How do people spend the money they earn?

What activities greatly drive household expenditure?

What would you comment about the contribution of Non - Governmental organizations towards improving the livelihood of people in Namatala

What would you comment about the contribution of government towards improving the livelihood of people in Namatala.

IMPORTANCE OF CULTURE AND CULTURAL SUSTAINABILITY

What about cultural sustainability?

What about cultural development?

What opportunities does that provide?

Are there any plans or programmes to support cultural aspects?

What is the relative importance of culture?

Are there any strong cultural organisations?

Are there any important cultural spaces?

What about the inclusivity of different cultural groups? Participation of cultural groups?

Intercultural understanding?

Cultural heritage and art forms?

Creative cultural enterprises?

Cultural entrepreneurship?

Cultural differences in attitude to environment-related issues

Does Namatala have greater cultural diversity than other areas of Mbale and does these present opportunities?

Appendix V: Key Informant Interviews

DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY, UGANDA

Good afternoon and welcome to our session. Thanks for taking the time to talk with us about urban development with particular reference to the Namatala Slum in Mbale Municipality. My name is Mary Manana a student at the University of South Wales and assisting me is my research Supervisor Dr Anthony Harris and staff and students from the University. I am writing a paper to understand the characteristics of Namatala a slum in Mbale Municipality in relation to the governments' plan and policies and the areas of the Environment, social, cultural and economic issues. The results of the study will contribute to informing on the strategies and policies for improving the cultural, environmental, social and economic status of the people and also inform on the Namatala slum.

You have been identified as one of the key informants with a good understanding of the policies and frameworks that apply to Mbale and Namatala in particular. There are no wrong answers but rather differing points of view. Please feel free to share your point of view.

You've probably noticed the microphone. We're tape recording the session because we don't want to miss any of your comments. People often say very helpful things in these discussions and we can't write fast enough to get them all down. We will not use any names in our reports. You are assured of complete confidentiality. The reports will be used only for the dissertation.

Thank you very much for your time and cooperation.

MARY MANANA

DEMOGRAPHIC

DEPARTMENT.....

NAME (Optional)

POSITION.....

Kindly give a brief history of Mbale town, its formation, the origin of the name and the people of Mbale.

What is the approximate population of Mbale municipality and Namatala? What ethnic groups are there in Mbale/Namatala?

What are the main economic activities of the people in Mbale Municipality? Has this changed over the years?

How many slum areas does Mbale municipality have? Kindly name them?

Do the slums name above exhibit certain characteristics?

If yes to above, kindly explain them.

Who makes the town policies? How are they made? For what purposes? For whose benefit?

What are the government policies in relation to the following?

Slum water and sewerage

Slum health

Cultural and social heritage

Provision of affordable housing

Waste disposal

Slum upgrading

Community capacity building

Are the above policies applicable to Namatala, in what ways have they been effective/not effective?

How does the town council address the issues of crime in the slums?

Are there organizations that partner with the council in the Namatala Slum including NGOs, CBOs, Churches, international organizations and others?

If yes to above, kindly mention them and the kind of work they do in Namatala

How do the partnerships work?

How do they relate with the laid down strategies and policies by the government?

Is there monitoring and evaluation and data capture on the effects of interventions in slums

Are there definite structures that involve the community in Namatala?

If yes, highlight the key structures with us? Even if the plan is informal, this information would be very useful.

Are there any barriers to community engagement, how does the Municipal council deal with this?

In your opinion is the slum situation in Mbale improving or getting worse

What measures are put in place by the government on slum intervention/improvement?

Are they effective?

If yes in what ways,

If not what hindrances are there?

What are the factors influencing slum growth including social, economic, environmental, political and cultural in Namatala.

What do you think about the town planning of Mbale?”

Has the town planning office accomplished what it set out to do?

If so in what ways?

If the answer is no, what were the obstacles and the way forward?

What could have been done better?

Are they shaping Namatala in any way?

What are the primary hurdles you face in securing resources (financial, human, goods and services) for municipal council projects?

What are your three top goals for Namatala in the next five years?

What else should we know about the town council in relation to governance, planning and policy execution especially for Namatala?

Thank you for your responses. Do you have any questions for us?

Appendix VI: Transect walk

A transect walk is a participatory tool that involves walking through the community to observe the people, the surroundings and the resources in the company of community members. It is used to note the sites and topography of the area and to understand inter-relationships in their surroundings. It is a useful exercise to do in the assessment stage to get a feeling for the issues and capacities which exist in a community;

It is used to;

Cross check oral information

To see first-hand the interactions between the physical environment and human activities, behaviour, values, attitudes, practices and capabilities over space and time.

To identify problems and opportunities, which may include areas such as

Housing or sanitary conditions

Food available and sold in open- air markets

Informal street commerce

Roles of men women and children

HOW TO;

Identify a route that covers the zones under study e.g. draw a line through Namatala touching Sisye, Mvule, Bubirabi and Nyanza. Draw a diagram of what you see.

Identify what you want to look for. Do direct observation and interviews

	Note down/draw what you see	Note down/draw what you see	Note down/draw what you see	Note down/draw what you see
Type of ground				
Livelihoods				
Risks/hazards				
Conditions that increase vulnerability				
Beliefs and values				
Capacities				
Natural environment				
Cultural activities				
Community resources eg water/toilet, fields, health facilities etc. schools				

Note down what you saw when walking through the community

What are the problems specific to the area?

What issues can be pointed out?

Determine areas that need to be further explored

Appendix VII: Consent Forms

GATE KEEPERS' PERMISSION FORM

UNIVERSITY OF SOUTH WALES

DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE
DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY,
UGANDA

I, Manana Mary, a student at the University of South Wales wish to request for permission to conduct a study on Developing a Place-Centred Approach to Sustainable Development Solutions for Namatala Slum, Mbale Municipality, Uganda

Why I am conducting the study

A place study of Namatala, will be conducted to allow for a meaningful in-depth analysis of location with a broad range of challenges and opportunities in a bid to find sustainable solutions to the problem of slums. The information collected will help to analyze social, economic, environmental and cultural status of the people in Namatala and bring to light the subsequent impact caused by social economic, environmental and cultural practices.

The purpose of the study is to try to gather data that is hoped will contribute to development of policy and strategies that will help improve the status of the people and also ensure growth and sustainable development of the community without compromising the environment.

Approval of the study

The study has been approved by the Mbale Regional Referral Hospital –Research Ethical Committee, the Uganda National Council for Science and Technology and the University of South Wales Ethics committee in order to ensure that the researcher observes human rights.

What I will have you do

We will be asking you to first provide us with a list of the household heads within your cell and also to join the team during the exercise so as to elicit responder confidence. You will then be expected to lead the research team to the particular households. We shall be asking the respondents questions regarding their family, school, health, social facilities and the environment. The response paper will not be identifiable by name but only by an assigned number. The interview will last for 30 minutes per household.

Are there any potential harms or risks if I take part in this study?

We do not anticipate any potential harm or risks to you when you participate in this study. Should anything arise, we shall have measures in place to help you.

Are there any benefits if I take part in the research?

This may be a beneficial exercise for you as a community leader because you will have first-hand information on the environment, cultural, social and economic situations in the cell that could inform policy for sustainable development.

Will I receive gifts for taking part in the study?

Yes, you will receive 10,000 Ug shs (\$ 1.39) per day in appreciation for the time you take to participate in the study and lunch will be provided.

Do I have to take part in the study?

You can only take part in the study if you want to. Nothing will happen to you or your grades if choose not to participate. Even if you chose to participate now you will be free to change your mind later with no consequences.

Significant New findings:

Any new findings during the study that are likely to make you withdraw from participating in the study will be communicated to you in time.

Feed back

The findings of the study will be communicated to you in a community meeting to be organized later after the study.

What if you have a question?

If you have any questions or concerns about this study or problem, please contact the REC Mbale Regional Referral Hospital -Research Ethical Committee Chairman Dr. J.S.O. Obbo at 0772437407/ 0393280584

Thank you

APPROVAL OF THE STUDY

The study has been approved by the Mbale Regional Referral Hospital –Research Ethical Committee, the Uganda National Council for Science and Technology and the University of South Wales Ethics committee in order to ensure that researchers observe human rights.

Risks and Discomfort

We do not anticipate any risks or harm to arise from the study. We promise to take appropriate measures to address any anticipated harm that could occur.

Possible Benefits

This study does not have immediate tangible benefits; however, the research will help to allow for a meaningful in-depth analysis of location with a broad range of challenges and opportunities for Namatala, in a bid to find sustainable solutions to the slum problem. Active participation in this study is likely to contribute to a sense of community ownership and an improved participation and meaningful third sector engagement.

Incentives

Since you will incur transport cost to come to the venue, each individual participant will be given a transport refund of Ugx10, 000 by the researcher.

Due to the time taken in the afternoon, participants will be served with tea and snacks.

Protection of Privacy and Confidentiality

We will do everything possible to protect the privacy and confidentiality of your responses. We shall request participants of the group discussions to be confidential. The responses will not be identifiable by name. The study is not interested in individual answers but in collective responses of all the participants. We have an ethical and legal responsibility to keep confidentiality.

Choosing to be in the study

You do not have to participate in this study. You have the choice not to. You are also free to stop participation even after you have signed the consent form. Your decision will not affect you in any way, nobody will blame you.

Do I have to take part in the study?

You can only take part in the study if you want to. Nothing will happen to you should you chose not to participate.

Risks and Discomfort

We do not anticipate any potential harm or risks to you when you participate in this study. Should anything arise, we shall have measures in place to help you. The researcher Mary Manana will be with you during the discussions, you can report to her any discomfort you get as a result of the study.

Significant New findings:

Any new findings during the study that are likely to make you withdraw from participating in the study will be communicated to you in time.

Feed back

The findings of the study will be communicated to you in a community meeting to be organized later after the study.

What if you have a question?

If you have any questions or concerns about this study or problem, please contact the REC Mbale Regional Referral Hospital -Research Ethical Committee Chairman Dr. J.S.O. Obbo at 0772437407/ 0393280584

Thank you



Uganda National Council for Science and Technology

(Established by Act of Parliament of the Republic of Uganda)

Our Ref: SS 4779

4th December 2018

Ms. Mary Nyanjuki Gichuki Manana
Principal Investigator
Africa International University
Nairobi

Dear Ms. Manana,

Re: Research Approval: Environment – Economic Interaction and Correlation for Sustainable Development in Namatala, Mbale District, Uganda

I am pleased to inform you that on **19/11/2018**, the Uganda National Council for Science and Technology (UNCST) approved the above referenced research project. The Approval of the research project is for the period of **19/11/2018 to 19/11/2021**.

Your research registration number with the UNCST is **SS 4779**. Please, cite this number in all your future correspondences with UNCST in respect of the above research project.

As Principal Investigator of the research project, you are responsible for fulfilling the following requirements of approval:

1. All co-investigators must be kept informed of the status of the research.
2. Changes, amendments, and addenda to the research protocol or the consent form (where applicable) must be submitted to the designated Research Ethics Committee (REC) or Lead Agency for re-review and approval **prior** to the activation of the changes. UNCST must be notified of the approved changes within five working days.
3. For clinical trials, all serious adverse events must be reported promptly to the designated local IRC for review with copies to the National Drug Authority.
4. Unanticipated problems involving risks to research subjects/participants or other must be reported promptly to the UNCST. New information that becomes available which could change the risk/benefit ratio must be submitted promptly for UNCST review.
5. Only approved study procedures are to be implemented. The UNCST may conduct impromptu audits of all study records.
6. An annual progress report and approval letter of continuation from the REC must be submitted electronically to UNCST. Failure to do so may result in termination of the research project.

LOCATION/CORRESPONDENCE

Plot 6 Kimera Road, Ntinda
P. O. Box 6884
KAMPALA, UGANDA

COMMUNICATION

TEL: (256) 414 705500
FAX: (256) 414-234579
EMAIL: info@uncst.go.ug
WEBSITE: <http://www.uncst.go.ug>



Uganda National Council for Science and Technology

(Established by Act of Parliament of the Republic of Uganda)

Below is a list of documents approved with this application:

	Document Title	Language	Version	Version Date
1.	Research proposal	English	N/A	April 2016
2.	Focus Group Discussions (FGDs) Informed Consent Form (ICF)	English, Luganda, Lumasaba and Ateso	N/A	N/A
3.	Gate keeper's permission form	English, Luganda, Lumasaba and Ateso	N/A	N/A
4.	Informed consent template	English	N/A	N/A
5.	Consent form questionnaire	English, Luganda, Lumasaba and Ateso	N/A	N/A
6.	Questionnaire	English	N/A	April 2016
7.	Observation checklist	English	N/A	April 2016
8.	FGD questions	English	N/A	April 2016
9.	Transect walk	English	N/A	April 2016
10.	Key informant interviews	English	N/A	April 2016
11.	Demographic form	English	N/A	April 2016

Yours sincerely,

Isaac Makhuwa

For: Executive Secretary

UGANDA NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

Copied to: Chair, Mbale Regional Hospital Institutional Review Committee

LOCATION/CORRESPONDENCE

Plot 6 Kimera Road, Ntinda
P. O. Box 6884
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COMMUNICATION

TEL: (256) 414 705500
FAX: (256) 414-234579
EMAIL: info@uncst.go.ug
WEBSITE: <http://www.uncst.go.ug>

Gate keeper's (LC1) permission form

University of South Wales

DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE
DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY,
UGANDA

I have read and understood or and the document has been explained to me verbally. I understand this permission form. All my questions have been answered and I freely give consent for the study to be conducted in cell.

LC1 (Gatekeeper) CELL:

Name	Signature	Date
------	-----------	------

Assent Obtained by:

Name	Signature	Date
------	-----------	------

Witness

Name	Signature	Date
------	-----------	------

Focus group discussions Informed Consent Form

University of South Wales

Title of the proposed study: DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY, UGANDA

Description of the research

Mary Manana, a student at the University of South Wales, invites you to participate in a research study. The purpose of the study is to gather data that is hoped will contribute to development of policy and strategies that will help improve the social economic status of the people and also ensure growth and development of the community without compromising the environment.

You will be part of a group discussion divided into different organizations. All the participants will be from different third sector organizations that operate in Namatala including the government. Your part in the study will be to respond to questions connected to existing capitals in your organization what the organization is doing in Namatala, their strengths, weaknesses, challenges and opportunities. The interview will take one and half to two hours at the Child of hope school in Namatala beginning at 2pm. Notes will be taken in the sessions. Recordings will be made with an audio and video tape and still photographs.

Sponsorship of the study

The research is self-sponsored and my tuition is sponsored by the University of South Wales, where I go to school.

FOCUS GROUP DISCUSSIONS

Informed Consent Form FGD

University of South Wales

DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE
DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY,
UGANDA

I have read and understood or, and the document has been explained to me verbally. I understand this informed consent document. All my questions have been answered and I freely choose to participate in this study.

Participant

Name	Signature /thumbprint	Date
------	-----------------------	------

Informed Consent Obtained by:

Name	Signature	Date
------	-----------	------

Witness

Name	Signature /thumbprint	Date
------	-----------------------	------



Date:

MARY N MANANA

P.O BOX 385

MBALE

UGANDA.

TO:

THE TOWN CLERK

MBALE MUNICIPAL COUNCIL

Dear Sir/Madam,

RE: REQUEST TO UNDERTAKE KEY INFORMAT INTERVIEW FOR A PHD

DISSERTATION ON 13TH AND 16TH OF MARCH AT THE COUNCIL OFFICES

My name is Mary Manana a PHD student at the University of South Wales and assisting me is my research Supervisor Dr Anthony Harris and staff and students from the University. I am writing a paper to understand the characteristics of Namatala a slum in Mbale in relation to the governments' plan and policies and the areas of the Environment, social, cultural and economic issues. The results of the study will contribute to development of strategies and policies for improving the cultural, environmental, social and economic status of the people and also inform on the Namatala slum.

The research is also for use by the University of South Wales and the Welsh Government in determining the extent of the interventions in Namatala and Mbale at large through PONT and

in partnership with other stakeholders.

Mbale municipal council and in particular the Mayor/town clerk, the town planner, environmental officer and the social and cultural officer, have been identified as the key informants with a good understanding of the policies and frameworks that apply to Mbale and Namatala in particular.

The following is suggested for meetings preferably within the town council premises for a time not exceeding 1 ½ hours per session

DATE	TIME	PERSON TO MEET	PARTICIPANTS
13 th March	8.30AM – 10.30AM	MAYOR/TOWN CLERK	MARY MANANA (STUDENT) DR. ANTHONY HARRIS (SUPERVISOR) MASTERS STUDENTS’ UNIVERSITY OF SOUTH WALES
	11.00AM – 12.30PM	TOWN PLANNER	MARY MANANA (STUDENT) DR. ANTHONY HARRIS (SUPERVISOR) MASTERS STUDENTS’ UNIVERSITY OF SOUTH WALES

16 th March	8.30AM – 10.30AM	ENVIRONMENTAL OFFICER	MARY MANANA (STUDENT) DR. ANTHONY HARRIS (SUPERVISOR) MASTERS STUDENTS UNIVERSITY OF SOUTH WALES
	11.00AM – 12.30PM	SOCIAL SERVICES/CULTURAL OFFICER	MARY MANANA (STUDENT) DR. ANTHONY HARRIS (SUPERVISOR) MASTERS STUDENTS' UNIVERSITY OF SOUTH WALES

We will not use any names in our reports. You are assured of complete confidentiality. The reports will be used only for the dissertation.

I kindly request to be granted this opportunity for the interview from your esteemed office.

Thank you and kind regards

Mary Manana

University of South Wales

Mary N Manana Invitation for FGD

AFRICA INTERNATIONAL UNIVERSITY

P.O BOX 24686, 00502

KAREN, NAIROBI.

Dear Sir/Madam,

The bearer of this letter is a research assistant for Mary Manana doing a study in Namatala on “Developing a place-centred approach to sustainable development solutions for Namatala slum, Mbale Municipality, Uganda”. The information collected will help to analyze social economic status of the people in Namatala and bring to light the subsequent impact caused by social economic, environmental and cultural practices. The results of the study will contribute to development of strategies for improving the social economic status of the people and also ensure growth and development of the community without compromising the environment. You have been identified as a key stakeholder in Namatala with a good understanding of the social economic background of the people. I kindly request you to avail yourself for a focus group discussion. Your responses will be kept strictly confidential. Only the research team will have access to the information you give. Please spare about 1 hour of your time to attend to this meeting at Child of Hope premises in Namatala, we will give a transport refund of Ugx 10,000, tea and snacks will also be served. We also request your availability for individual interviews. A summary of the results will be sent to you after the data is analyzed.

Thank you very much for your time and cooperation.



MARY MANANA

Researcher



Consent form: Questionnaire

Name.....

Please tick the boxes where you agree. ✓



I understand what the research is about.



I agree to fill the questionnaire in.



I understand that all the information I give will be kept private. It will not be shared with anyone else.

Sign/mark

Date



Consent form: group interviews

Name.....



Please tick the boxes where you agree.



I understand what the research is about.

I agree to take part in a group interview.



I agree to have what I say recorded on tape.



I understand that all the information I give will be kept private. It will not be shared with anyone else outside the research team



I agree that anything I say can be used in the research report. My name will not be used no-one will know I said anything.

Date

Sign/mark.....



Consent Form

Title of the project: DEVELOPING A PLACE-CENTRED APPROACH TO SUSTAINABLE DEVELOPMENT SOLUTIONS FOR NAMATALA SLUM, MBALE MUNICIPALITY, UGANDA

Name of researcher: Mary Gichuki Manana

Please read all the instructions carefully Please sign the box

I confirm that I have read and understood information sheet for the above study

I have had the opportunity to consider the information,
ask questions and have these questions answered
Satisfactorily.

I understand that my participation is voluntary and that I am free
to withdraw at any time, without giving reason and without any effect.

I agree to take part in the above study.

Please print your name, write the date and sign the form in the spaces provided

Participant's Name (Please Print)

Date

Signature

Researcher (Please Print)

Date

Signature

Code Book Interviews

7/25/2018 3:43 AM

CODE BOOK JULY 2018

Hierarchical Name	Name	Description
Files\\INTERVIEWS\\FINAL INTERVIEW	FINAL COMMUNITYCOMMUNITY	INTERVIEW INTERVIEWSFOR DEVELOPMENT ANALYSIS
Files\\INTERVIEWS\\FINAL INTERVIEW	FINAL DEPUTY TOWNTOWN	INTERVIEW DEPUTY CLERK JULY 2018
Files\\INTERVIEWS\\FINAL INTERVIEW	FINAL ECONOMIC TOWNTOWN	INTERVIEW ECONOMIC PLANNER JULY 2018
Files\\INTERVIEWS\\FINAL INTERVIEW	FINAL ENVIRONMENTENVIRONMENT	INTERVIEW OFFICER JULY
Files\\INTERVIEWS\\FINAL INTERVIEW	FINAL MBALEDEVELOPMENT	INTERVIEW MBALE FORUM JULY 2018

Appendix VIII: ITINERARY OF FIELD RESEARCH UNDERTAKEN

The PhD was done on part time basis, alongside a full-time job with organized off days, with yearly face to face interaction with the supervisors every January for the duration of the study. Depending on the requirements of the job, time allocation was shifted between quarters. Every attempt was made to stick to the overall framework, however there were several suspension of studies due to unavoidable circumstances occasioned by the death of a supervisor, retirement of another, serious illness to two of my children and two job changes. On the overall, the study took 6 complete years to complete (omitting the suspensions). The learning outcomes submitted at the start of the study (see below) included to support the learning of others, thus explaining the presence of the students from the University of South Wales who accompanied the researcher during data collection for learning purposes as observers/learners, rapporteurs and research assistants.

TIME (Academic year)	ACTIVITY	REMARKS	RESEARCH TOOL	Person(s) responsible	Participants
September 2011	Proposal and admission	Admission granted		Researcher	
September 2012	Suspension of studies from the 22nd of	Suspension of studies due to the death of the supervisor and			

	September 2012 until the 21st of September 2013	retirement of the second supervisor			
September 2013	Resumption of studies	Meeting with the new supervisors in February 2014			
June 2014 to February 2015	Suspension of studies	Suspension occasioned by chronic illness of my two children			
2015	Resumption of studies	Administered the first Focus group discussion Data Analysis and write up	Focus group Interview questions for triangulation with the questionnaire	FGD expert	The focal persons from each of the cells Mvule, Bubirabi, Nyanza and Sisye each group composed of 6-8 selected community leaders
2015	Resumption of studies	Administered the Questionnaire Observation check list The Red cross VCI tool kit Data analysis and write up	Questionnaire Observation Transect walks	Eight Ugandan Research assistants assisted by Eight gatekeepers who included the Local Council chairpersons and village elders. Geography students on a learning tour from the University of South Wales attended for 2 days	Selected households from the lists supplied by the gatekeepers using the Slovincs formula from the four cells that exhibited slum like characteristics as per the definition
2016		Key informant Interviews	Interviews with the officials of the	The Researcher, Geography students on	The town planner (economic),

		Data Analysis and write up	town Council, and the Mbale Development forum	study from the University of South Wales	community development officer, environmental officer and MDF officials
2017		Second Focus group discussion Data Analysis and write up	FGD with the organizations working in Namatala NGOs, CBOs Government and the Community	The Researcher, 4 Ugandan research assistants and student and staff of the University of South Wales on a study tour	The organizations that were available, child of hope, Njenga, Child fund, NCODO, Youth for a covenant mission and CRO
2018		Data Analysis and write up		Researcher	
2019		Suspension of studies for 6 months Data Analysis and write up		Researcher	
2020 October		Submission of Thesis for examination		Researcher	
2021 April		Viva examination		Researcher	

LEARNING TIMETABLE PHD OUTCOMES

The learning outcomes at the beginning of the study were ranked highly given the fact that I completed two Master's degrees, an M. Phil in Environmental Studies (Economics) and an MA in Organizational Leadership that involved intensive study of Research methods and production of Thesis.

RESEARCH – to be able to	Present ability (out of 100% goal)	Main learning focus during 6-month periods								
		0	2012	2013	2014	2015				
Identify original topic for research and/or original problem to be tackled	100								100	
Set research in context of previous knowledge and current priorities/opportunities	100								100	
Design/execute collection of information and/or investigation using appropriate methodologies	85				0	5			100	
Identify and access appropriate library- or archive-based information	85								100	
Demonstrate practical and analytical skills	90						10		100	
Collect, record and manage information and/or findings	90								100	

Analyse information and/or findings	85					5		5	100	
Critically evaluate one's findings and those of others	90							10	100	
Develop theoretical concepts	100								100	
Recognise and demonstrate originality and independent thinking	100								100	
PRESENTATION AND COMMUNICATION – to be able to										
Use appropriate media to present and defend outcomes of research	80					0			10	100
Present research outcomes in the form of a thesis and defend them at viva	90								10	100
Support the learning of others	100									100
Identify original topic for research and/or original problem to be tackled	100									100
Set research in context of previous knowledge and current priorities/opportunities	95								5	100
Design/execute collection of information and/or investigation using appropriate methodologies	90					0				100

Identify and access appropriate library- or archive-based information	85				5				100	
Demonstrate practical and analytical skills	100								100	
Collect, record and manage information and/or findings	100								100	
Analyse information and/or findings	90						10		100	
Critically evaluate one's findings and those of others	90					0			100	
Develop theoretical concepts	95								100	
Recognise and demonstrate originality and independent thinking	100								100	