

**Slum an Urban Tourism Resource in Zambia:  
A Case Study of Kalingalinga Informal Settlement, Lusaka**



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## **Abstract**

Slum settlements are often reviewed as urban spaces of social complexity where people are often ensnared in a poverty trap. Conversely, slum spaces are exploited as a resource by multiple stakeholders and poverty is an attraction. Pro-poor slum tourism is being utilised in slum settlements outside Zambia as a tool for capacity building, utilising slum dwellers' resilience, ingenuity, uniqueness and entrepreneurial spirit. This explorative study adopts a qualitative approach in investigating Kalingalinga settlement in Lusaka, Zambia and begins by observing the space through participating in a slum tour. This is followed by interviews with multiple stakeholders, through which participants understanding and perception of the concept of slum tourism are reviewed.

Investigation revealed that Kalingalinga is a space of poverty and basic infrastructure, threatened by demand for its location. The informal space is constantly changing and redefining its position within society, fighting for recognition and acceptance. Analysis revealed that this interaction leads to exploitation of slum resources that mainly benefit external stakeholders. A new approach is proposed; to redefine interactions and relationships, to address the root of poverty, and the slum's informal status. This research, through a conceptual framework for slum tourism, identifies means through which poverty could be exploited by Kalingalinga slum dwellers as a resource for inclusion and, through a pro-poor approach, generate net benefit that satisfies all stakeholders. A key finding suggests that slum spaces could be navigated through a relative slum tourism approach (RST) rather than absolute slum tourism commonly adopted by slum tourists. RST allows the tourist to witness wider activities slum dwellers are involved in, extending the narrative beyond the confines of the settlement. To achieve sustainability, the framework suggests that the people, rather than the location, should be placed at the centre of pro-poor slum tourism and community development.



## Declaration and Statements

### Declaration

This work has not been previously accepted in substance for any degree and is not being concurrently submitted in candidature for any degree.

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### Statement 1

This thesis is the result of my own investigations, except where otherwise stated. Where correction services have been used, the extent and nature of the correction is clearly marked in the footnote(s). Other sources are acknowledged with explicit references. A full reference list is appended.

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## **Acknowledgement**

*Roses can grow in slums just as weeds can grow around mansions.*

**Richard Paul Evans**

Writing this thesis has taught me a great deal about myself and has led me on a journey of exploring what matters, who cares, for what purpose and how one restarts when all hope seems lost. This journey has taken me from the United Kingdom to Nigeria, Sweden, Zambia and back. The pure imperfection of slum dwellings and intertwined looks of hope and despair in the faces of the inhabitants led to a hunger to pursue answers in attempts to understand how the conditions of hope and despair can co-exist and what, if anything, may aid in improving positive experiences and reflection.

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## Glossary and Acronyms

AfDB	African Development Bank
AIDs	Acquired Immune Deficiency Syndrome
AST	Absolute Slum Tourist
CBOs	Community-Based Organizations
CBT	Community Based Tourism
CBTI	Community Benefit Tourism Initiatives
CII-HUB	Create, Invent, Innovate Hub
CSR	Corporate Social Responsibility
CSR	Corporate Social Responsibility
CURP	Centre for Urban Research and Planning
EIA	Environmental Impact Analysis
FAO	Food and Agriculture Organisation of the United Nations
FG	Focus Group
GDP	Gross Domestic Product
GIS	Geographical Information System
GRT	Green Roof Technology
HIV	Human Immunodeficiency Virus
IMF	International Monetary Fund
LCC	Lusaka City Council
NGO	Non-Governmental Organisations
OYDC	Olympic Youth development Centre
PACRA	Patents and Companies Registration Agency
PPHPZ	People's Process on Housing and Poverty in Zambia
PPT	Pro-Poor Tourism
PSUP	Participatory Slum Upgrading Programme
SDGs	Sustainable Development Goals
SMEs	Small and Medium Enterprises
UN Habitat	United Nations Human Settlement Programme
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children Fund
UNWTO	World Tourism Organisation
USAID	United States Agency for International Development
WFP	World Food Programme
YOFOSO	Youth for Sport, restoration and Rehabilitation
ZHPPF	Zambia Homeless and Poor People's Federation
ZTA	Zambia Tourism Agency

# 1 INTRODUCTION

## 1.1 Introduction

In today's world, slums are a reality in urban areas across the globe. They are a physical manifestation of factors such as rapid and uncontrolled urbanisation, rural-urban migration, acute poverty, ill-conceived policies, inappropriate urban planning, and weak institutional capacity. Yet they are an integral part of urban society and contribute significantly to economies. UN-Habitat (2009) defines slums as run-down areas of a city characterised by sub-standard housing, squalor and lacking tenure security. This narrative of informal settlements was also shared by (Abbott, 2001) due to the challenges that slum spaces present to urban planning and national development.

Slum settlements globally amount to one-third of world population, with Asia regarded as the region with one of the highest number of poor urban people (Ooi & Phua, 2007). Slums are characterised by inadequate basic services, and infrastructure and people live in squalid conditions, which create poor human living conditions. The last two decades have seen increasing global attention on the emergence and growth of slums or informal settlements across the world's cities. The provision of adequate shelter for all as a means to promote sustainable human development became a focal point in policy discussion following the Istanbul Declaration on Human Settlements of 1996.

Overwhelming evidence suggests that slum upgrading has the potential to shift the social and economic well-being of these communities, as a vehicle through which the complex issues of poverty and inequality can be addressed if well planned (UN-Habitat, 2003). Abbott (2002) added that due to their position and number of inhabitants, slum spaces require strategic planning to address shortages in urban housing. The United Nations reported that in 2018 approximately 55.3 per cent of the global population resides in slum communities with this figure predicted to grow by another 4.7 per cent by 2030, a significant rise to an already concentrated slum population (UN, 2018). This progression will substantially impact Africa with the urban population projected to rise to 1.23 billion by 2050, and 50 per cent forecast to be living in urban areas by 2030 (UN-Habitat, 2020).

While slum upgrading is often employed by international bodies as a mechanism for external intervention, the voices of the poor are often overlooked in the short, medium and long term

sustainability of projects implemented by donor organisations and institutions. As an alternative, the concept of slum tourism, which is fairly new, has gained popularity in recent times particularly in townships of South Africa, Favelas of Brazil, Kibera, Kenya and Dharavi, India, as a means of achieving socio-economic and developmental goals, with tourists visiting slum settlements to explore spaces of poverty (Meschkank, 2011; Frenzel et al., 2015). These activities are more common in the global south than the north and have generated discussion among researchers who scrutinised slum tourism from different positions. Including a voyeuristic, egoistic position (Dürr 2012; Steinbrink, 2012) leading to stress and anxiety (Crossley, 2012). Cawthorne's, (2007) viewpoint on slum tourism as a spark for entrepreneurial activity and a lens for exploring host inhabitant way of living or as a means of poverty reduction (Goodwin, 2011). Slum tourism is less practiced in Zambia (Sub-Saharan nation) and there are limited documents available to assess possible impacts. There were less than 5000 visitors on tours of Zambia in 2012 (Frenzel et al., 2015) which may indicate the need for policy change. To address the challenges raised by researchers on slum tourism, some suggest the integration of tourism and pro-poor strategies, a poverty alleviating approach that generates net benefit for the poor (Ashley, Boyd and Goodwin, 2000; Butler, Curran and O' Gorman, 2013; Goodwin, 2007).

Zambia, the focus of this research, is a landlocked country bordered by eight countries including Zimbabwe, Angola and Tanzania. Located in the Southern part of Sub-saharan African, Zambia has a population of nearly 17 million people (World Bank, 2020; UN-Habitat, 2016). Zambia is a democracy that gained independence from Britain in 1964. The country is divided into 10 provinces with 73 ethnic groups, governed by written and customary law, enshrined in the constitution is the role of traditional rulers (Sambo, Nkunica and Zulu, 2021 p. 311). According to Sambo and team, there are seven major languages spoken nationwide including Nyanja, Bemba and Tonga. Zambia has a tropical climate with peak temperatures reached in October and a yearly rainfall of approximately 810mm. Like many Sub-Saharan countries, Zambia has been exposed to the effects of climate change including conditions such as droughts, abnormal temperatures and erratic rainfall (Müller et al., 2014). The unpredictable weather has a direct impact on the economy threatening livelihoods, food security and compromising living standards. Life expectancy measured by Human Development Index (Longevity, level of education and standard of living) significantly decline in Zambia 2015, complicated with high HIV and AIDs cases with female reported living for 62 years and male 58 (UNDP, 2016), compare to approximately 56 years for female in 2016 and 52 for male; and

overall adult literacy rate of 68 per cent (Sambo, Nkunika and Zulu, 2021, p. 305). Zambia is one of the most urbanised (over 42% living in urban areas) and indebted countries in the world with debt predicted to rise to over 84% of GDP in 2021 (ibid; World bank, 2002, Mulenga, 2003; UN-Habitat, 2007). The economy depends heavily on copper (other resources include gold, coal, emeralds) production contributing to more than half of GDP, with many positive economic outcomes. The country has not fully utilised the agricultural potential such as livestock and fisheries (most farmers are engaged in subsistence farming) which is part of Zambia vision 2030 to become a prosperous middle class and economically independent nation (Sambo, Nkunika and Zulu, 2021, p. 343). Other contributing economic sectors include manufacturing and tourism. Tourism has seen a considerable rise in international visitors (close to a million in 2015), the sector is highly competitive with attractions including Victoria Falls and national parks (Liu & Mwanza, 2014).

The country has a growing number of urban informal settlements (locally known as “Komboni”) and a high poverty level, primarily due to a lack of affordable housing, uncontrolled rural-urban migration, natural growth and reclassification (UN-Habitat, 2012). The informal settlements attract an unskilled and semi-skilled workforce who work mainly in the informal sector with low rates of pay (Mulenga, 2003; UNDP, 2016). Characteristics of such settlements include poor housing and infrastructure, inaccessibility to safe water and sanitation, overcrowding and insecurity of tenancy with inadequate institutions to address concerns (UN-Habitat, 2007; Mulenga, 2003). There are over 37 urban settlements in Lusaka, capital city of Zambia, inhabited by more than 70 per cent of the urban population, living in temporary and insecure accommodation competing for limited resources (Nyambe & Yamauchi, 2021). Slum, informal and peri-urban are words used interchangeably to describe and classify these settlements, however they do not define the vibrancy, capabilities and resilience of inhabitants of slum settlements (Mwamba & Peng, 2020). Tourism in Sub-Saharan Africa, whilst not without constraints, is being discussed as an economic development tool to address the plight of informal settlers (Frenzel et al., 2015; Hernandez-Garcia, 2013; Lilford et al, 2017), attracting 33.8 million visitors from various countries in 2012 including United Kingdom and United states (Christie, I. T. *et al.*, 2014).

### **1.1.1 Tourism as a theoretical lens**

Recently, there is emerging literature on slum tourism and its role in improving the prospects and livelihoods of slum residents. The activity of slum tourism can be described as organised tours to deprived areas (Frenzel et al., 2012). Nisbett (2017) notes that slum tourism has been addressed explicitly in tourism literature as a unique form of tourism that has been on the rise in the last thirty years since it has, with contributions from a wide range of disciplines expressed from various standpoints. The bulk of slum tourism research are conducted as case studies and are therefore not always practicable to directly apply concepts and theory. Rolfes, Steinbrink and Uhl (2009) points to the differences that occurs between tourism in townships, favelas or other kinds of slums, which indicates that slum tourism packages are determine by dynamic of place and people.

Some theoretical conceptions now consider slum tourism as a major source of potential economic revenue and therefore implore governments and development partners to exploit its potential as part of wider slum upgrading initiatives. Slum tourism can be seen as “the touristic valorisation of poverty-stricken urban areas of the metropolises in so-called developing or emerging nations which are visited primarily by tourists from the Global North,” (Steinbrink et al., 2012). An alternative form of tourism, slum tours carry the promise of an immersive experience of people and the local culture. Slum tourism thus adds a different dimension to the relationship between tourism and poverty, “tourism is no longer simply a vehicle to combat poverty, but poverty is an attraction for tourism” (Frenzel et al., 2015; Mekawy, 2012).

The re-emergence of slum tourism has initiated discussion about whether this kind of tourism could, in particular cases, be a force for positive change. This thesis uses this theoretical lens to analyse the concept of slum tourism in the context of situating it as a tool for poverty alleviation. The study uses a case of Kalingalinga settlement; one of Zambia’s revitalising slums in Lusaka the capital city. This, however, is not to underscore the challenges and ethical issues that are associated with slum tourism. While Kalingalinga residents may build resilience through engaging in the informal sector as a means of contributing to national GDP, they are still susceptible to the challenges of stigmatisation, poor infrastructure and lack of basic amenities such as safe water and sanitation, unstable housing, overcrowding and security of tenure. These conditions often affect the propensity of dwellers to fully engage in economic activity and move towards equality. Slum tourism should be designed to support, protect and uplift slum residents with consideration given to the specific challenges to be addressed in the



community and ethical issues. There will also be a need for continuous review and improvement of practice by suitably stakeholders to ensure appropriateness of activities.

Tourism was considered as a theoretical lens to navigate the slum of Lusaka after reviewing the role aid and non-governmental organisations play in the shaping of communities. Interventions implemented by these organizations have sometimes been found to breed distrust which scars the relationship with host nations stemming from perceived mismanagement of funds for social-change and empowerment (Lewis and Kanji, 2009 - see section 3.3.1). The concept of tourism is significant in the slum settlement narrative as adopted in this study for its link to economic growth and prosperities (Harvey, 2007), it can also support the preservation of culture and tradition through the foreign revenue it generates (Azam Khan, Alam, and Hafeez, 2018; Shahzalal, 2016). Tourism is one of the sectors that attributed to the boost in foreign investment from countries such as United States, Europe, China and India in Sub-Saharan Africa. Leading to rural development, infrastructural improvements, the empowerment of women and disadvantaged communities, preservation of cultural heritage, countries image and branding (Christie et al., 2014). In Zambia the travel and tourism sector's contribution to GDP was projected to rise from 4.4 per cent in 2016 to 5.8 per cent in 2017 with the impacts being direct, indirect and induced, visitor's export and investment was also forecast to rise (WTTC, 2017). Data from 2020 revealed a significant drop in travel and tourism's contribution to the global economy due to the pandemic, and a dip in domestic and international spending. International visitors to Zambia in 2019 contributed USD849.4MN, with arrivals from Zimbabwe 26 per cent, Tanzania 20 per cent, South Africa 11 per cent, Botswana 4 per cent, United States 4 per cent and the Rest of the World 35 per cent (WTTC, 2020). The low level of tourism activities in 2020 which have seen a closure to various destinations could worsen negative impacts as demand begins to soar (Blundell, Schaffer and Moyle, 2020).

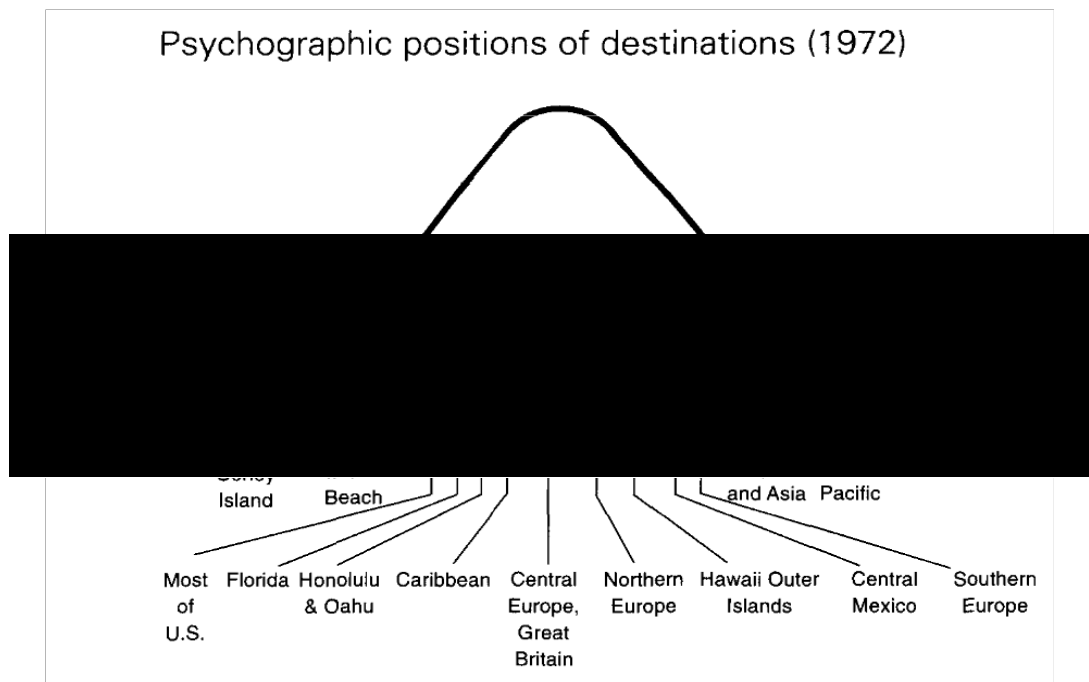
In tandem with consideration of the significance of tourism in generating benefits for the poor, there must be a reflection on sustainability, socio-cultural and environmental impacts. For example, tourism to places facing inequalities such as the lack employment opportunities can lead some members of society, mostly women to explore sex tourism, which could lead to negative health outcomes such as increased sexually transmitted diseases/HIV (Cabada et al., 2007). Host communities may also reap limited benefits to due to tourism leakages (Christie et al., 2014 pg 29). Further negative impacts could be associated with acculturation, a process

where two distinct cultures interact for an extended period leading to one group varying and adjusting to the customs of the other (Shahzalal, 2016; Cho, Cho and Zhang, 2021). The host countries are often at the receiving end according to Cho et al., (2021), with possible impacts involving cultural integration, cultural assimilation, cultural separation, and cultural marginalization according to what tourists perceive as satisfaction and quality of life. These negative outcomes may impact the realisation benefits of slum tourism in the settlements of Zambia and dampen interaction between dwellers and tourists. Frustration from this interaction can also be borne out of demonstration effect, a process where residents of host communities attempt to mirror pattern of behaviour and consumption of tourism due to exposure (Monterrubio and Mendoza, 2014). Therefore, stakeholders such as Lusaka City Council should review slum inhabitant behavioural change and introduce sensitisation into strategy when discussing and planning slum tourism with dwellers. The lack of appropriate strategies could exacerbate the stress, anxiety and feeling of shame, culminating into questioning of standard of living and attempts by dwellers to force a way out of current situation (ibid). However, any proposed sustainable strategy should consider the global tourism life cycle, it's associated emotions and motivations.

### **1.1.2 Tourism Development**

The Tourism Area Life Cycle (TALC), a popular theory often applied when discussing tourism destination, market growth and evolution of tourism research in general (Butler, 2006a, Hovinen, 1981) was considered in this thesis. TALC is built with the product cycle in mind which follows the stages of introduction, growth, maturity and decline. This cycle proved significant in adding insight into the viability of Zambia as a touristic destination for international visitors, crucial to realising an innovative and sustainable entrepreneurship development tool (Powell and Thomas, 2019). Understanding tourism and its development requires the awareness and assessment of tourists and their motivations. Plog's model of allocentricity and psychocentricity suggests five categories of travellers, the psychocentric, mid-centric, near-psychocentric, near-allocentric and allocentric travellers, often distributed on a normal distribution curve, with places such as Nepal and Tibet presented as examples of allocentric and Orlando as psychocentric destinations (Litvin, 2006). Butler suggested that tourist motivations are varied, and that it is one of the less researched areas in tourism. What is known is that when a destination is well known and visited by tourists as the area develops and advances (allocentric- adventurers), it soon become less visited and loses most of its original

attractions (psychocentric) with tourists visiting/shifting attention to other competitive destinations or markets with retained originality/authenticity which are less commercialised.



**Figure 1. Psychographic positions of destinations from Plog (2001)**

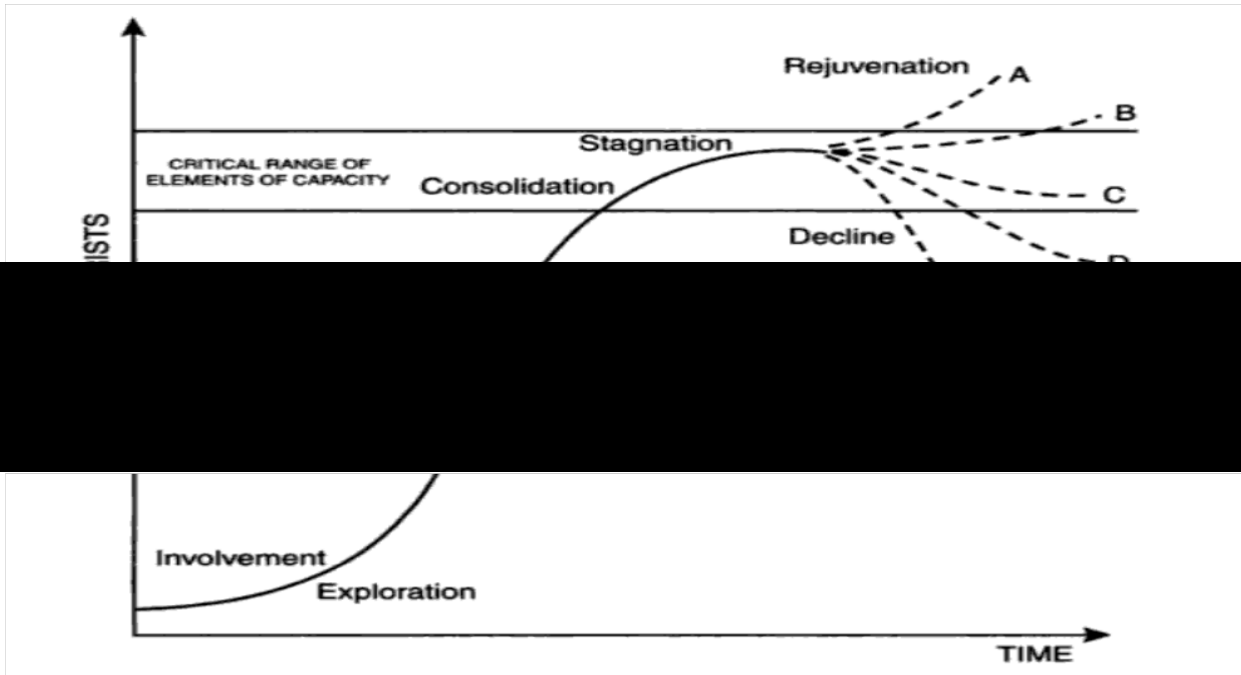
The global tourism industry saw an increase in international tourism with Africa receiving over 50 million arrivals from a total of 1,184 million tourists worldwide in 2015 (MOTA, 2016). Zambia recorded 1.7 percent of the total tourist figure, a decline to 2014 figure of 946969 tourists. Statistics in 2015 show a gradual decrease in the number of foreign visitors to Zambia with the exception of travellers from the African continent with an increase in tourist arrival from 2011 to 2014 (ibid). The demography of tourists interested in Zambia is diverse, with visitors from Africa, Europe, America, Australia and Asia This data places Zambia on the allocentric pattern rather than psychometric. This statement is supported by Plog (2001) as captured in Figure 1 above which classified African countries as a destination which follow an allocentric travellers' pattern. This are places that are mostly underdeveloped and sometimes difficult to access, due to contributing factors such as lack of infrastructure, negative perception and language barriers. This figure thou historical, however highlights the position of visitors to African countries in 1972. This information further shows that visitors are not static in the Plog's model and may likely explore destination as attraction improves common in mass tourism destinations. The below table shows the number of foreign visitors to Zambia and market share between 2011 to 2015 which further supports the transition of travellers over time across Plog's model.

CONTINENT	2011	2012	2013	2014	2015	Market Share 2015 by %
Africa	625,276	654,114	720,465	731 507	710,062	76.2
Europe	113,831	65,826	78,542	78 074	88,554	9.5
America	51,668	31,559	41,171	44 647	49,028	5.3
Australia	12,599	10,814	10,136	11 201	12,363	1.3
Asia	89,925	96,775	64,262	81 540	71,775	7.7
<b>TOTAL</b>	<b>920,299</b>	<b>859,088</b>	<b>914,576</b>	<b>946,969</b>	<b>931,782</b>	<b>100</b>

**Table 1. Tourist Arrival by continents 2011 to 2015, adapted from Mota, (2016)**

Researchers such as Cohen (1979) caution against the oversimplifying of the touristic models of travelling proposed by Butler and Plog as a series of processes that are banded, which Cohen termed as a “unilinear models of social change”. Other drawbacks of TALC are in how it interplays with social and politics as destinations change (Butler, 2006a). Plog’s theory was challenged by Litvin and Smith (2016) based on the lack of relationship between destination inclination and traveller’s personality types, however, Litvin suggests that while using Plog’s model, the destination criteria should be about travellers’ *aspirations* rather than their behaviour (Litvin, 2006). The stages identified by Butler as a pattern of evolution common in tourism are the exploration, involvement, development, consolidation, stagnation, decline and rejuvenation stages (Butler, 2006a), although Litvin cautions on the generalisation that all destination areas experience the TALC model.

**Exploration stage** – travellers exploring destinations during this phase are relatively small in number, adventurous and allocentric. They are often international travellers attracted to destinations mainly for their natural beauty and unique experience as implied in Christaller’s place theory (King, 2020). The model suggests that destinations should be designed to be central and reflect ease of movement and engagement (Bustin, 2020), to achieve balanced rural-urban development (King, 2020). At this stage interaction with local actors becomes considerable, with economic exchange and environmental impact reasonably low.



**Figure 2.** Hypothetical evolution of a tourist area, from Butler (2006a).

**Involvement Stage:** At this stage the high numbers of visitors are still maintained, and the host community begin to stimulate the interest and attraction of tourists through engagement in various commercial activities. This spurs a reaction from local tourism organisation and involvement of government to act, particularly in areas of infrastructural improvement for tourist.

**Development Stage:** The tourist destination and institutions to promote tourism are well known and active at this stage as are marketing and advertisement. The gradual erosion of local attraction and activities become more visible at this stage and unique traditions and culture are steadily replaced by more formal events and performance. The injection of new funds and infrastructure become more evident and government involvement is fully functional. Tourist interest is at the optimal level, with external assistance needed to conduct more specialised tasks or activities, creating tension among the local populace who may not be able to contribute to this new engagement. The tourist perspective also starts to change, towards the centric/psychocentric, as suggested by Plog's theory.

**Consolidation Stage:** The numbers of tourists and visits at this stage begin to decline, although still at a reasonable level to be economically viable, with ventures well established to cater to

interests. The environmental impact of tourism in this destination may accelerate, which may further escalate the tension with local hosts.

**Stagnation Stage:** The goal of optimal visitor attendance is fully achieved at this stage, with visible associated environmental, social and economic factors. For example, the hotel sector will start to experience low turnout and focus on loyal customers becomes imminent, the community's unique culture is fully replaced. Due to the low economic activity by tourists, businesses may also experience change in ownership and travellers become more psychocentric.

**Decline Stage:** The destination at this stage is less competitive with a deteriorating market, as customers become less attracted, the reduction in local distinctiveness opening the destination up to greater levels of competition. Such destinations are often used by tourists occasionally or as a bridge towards other attractive destinations, creating mass tourism. In contrast with the developmental phase, the re-introduction of local cultures and traditions starts to rise as the host community take back ownership, including purchase of ventures as they reduce in value. This rapid reverse may result in such destinations losing their destination pedigree.

**Rejuvenation Stage:** Destinations may be rejuvenated with the injection of new activities (for example casinos) or the discovery of natural resources. For this to be effective, new destinations must not be able to replicate such unique opportunities or ideas.

Having discussed how tourism development occurs in different countries. The next section goes on to conceptualise the informal settlement as a context for tourism.

## **1.2 Conceptualizing Informal Settlements/Slums**

### **1.2.1 Theoretical Debates on informal Settlements/Slums**

Despite the heterogeneity of slum settlements, commonalities that often exist are the sub-par quality of land, their size and construction, the potential for conflict stemming from vague communications when signing lands over and the crime rates often seen to be escalated in these areas of greater poverty. As time progresses and slums continue to grow, they can become confoundingly beneficial and problematic to both residents and outsiders. Corporations and individuals may benefit from the availability of cheap labour and residents from affordable

rents, but this may be compromised by the poor living conditions that exist and their implication on the health and well-being of society.

Goswani and Manna (2013) believe that the attraction of the urban environment remains one of the root causes behind migration of people to urban areas, particularly rural dwellers for whom urban areas carry an aura of mystique. Some of the reasons for moving to poor urban neighbourhood may extend beyond poverty and could include, for example, proximity to family. The city with its concentration of perceived diverse opportunity couple with the centralisation of economic powers creates an atmosphere of hope and the potential to fulfil personal ambitions which may otherwise be impossible to accomplish due to lack of infrastructural advancement in rural settlements. The integration of poor migrants to cities becomes a challenge and contributes to urban poverty as settlers are often unskilled, commanding low paying jobs and are forced to live in poor and informal urban settlements.

Considering these challenges any mitigation efforts need to address both the basic infrastructure for the growing population as well as capacity building to improve earning potential and achievement. The effectiveness of either is reliant on understanding the relationships that exist between slum stakeholders and internal and external factors.

### ***Issues in defining and labelling 'slums'***

According to UN-Habitat (2003) the five parameters used in qualifying slums include durability of housing; sufficient living area; security of tenure; access to safe water; and adequate sanitation, any settlement lacking at least two of these parameters is classed as a slum. While many informal settlements are classed as slums based on failure to meet tenancy criteria (Hofmann et al., 2008; Kohli et al., 2012) it is important to note that slums are not homogenous and different slums are exposed to various levels of infrastructural deficiencies (Roy et al., 2014). The parameters have been criticised for having a “lack the precision of definition necessary to classify a household as slum or non-slum” and a revised classification was assembled to reflect views of UN-Habitat, UNICEF and WHO, with considerable data limitations (UN-Habitat, 2003). The five parameters may not be efficient in classifying slums in Africa and Asia. The use of the durability of materials used in housing structures as an indicator of slum conditions is contestable, based on climatic conditions that dictate the different construction materials including grass, bamboo or mud. Also debatable is the number of household members that constitute overcrowding, as many African families are often

extended and sometimes polygamous. This situation, however, does not justify there being household members above the prescribed limit per room.

While many slum settlements are usually illegally occupied, most slums in Zambia are unique in that they have a renewable lease, which spans more than two decades. Given that legality and security of tenure are not defining factors here, there is a need to deconstruct slums based on other criteria. Arguably these which should take into account cultural, geographical and regional location. The standardised definition associated with slums may be having a negative effect on slums especially in Sub-Saharan Africa, where culture and tradition are vastly different to that experienced by the predominantly developed western institutions that created the definitions. Historic norms dictate many facets of living and policy prioritisation in sub-Saharan Africa, although the possibly connected lack of attention paid to provision of necessary infrastructure by policymakers in many African countries lacks an adequate defence. As shown by Parikh, Parikh and Mcrobie (2013) slum inhabitants in India and South Africa invested more in education, health, housing and land ownership when provisions of fundamental infrastructure were made available in slums, suggesting that these basic foundations could have a positive influence on welfare far beyond physical space. This in itself creates that undermines the current definitions which link poverty and poor welfare to proscribed definitions of formal urban settlement without recognising the complexity of the relationship with its context.

The table below articulates a true reflection of how intricate and contentious the definition of a slum is. In the globally accepted UN-Habitat (2003) definition of slums, an urban space missing at least one or more indicators below qualifies the neighbourhood as a slum. Based on this singular parameter the areas identified below are considered as slums. The definition by UN-Habitat (2003), seems to exclude the socio-economic, political, cultural, climatic, environmental and human aspect of an urban space or neighbourhood, which perhaps additionally affect the nature of interventions applicable in some of the world slums. Moreover, more information possibly is required to further deconstruct what slum genuinely represents and the demeanour of actors internal or external to slums may require further investigations.



	SLUM INDICATORS					
Example of a Slum	Services	Structure	Density	Location	Poverty and Exclusion	Security of Tenure
Ibadan, Bodija Market						
Dhaka railways						
Karachi invasion of state land						
Karachi ad-hoc settlements						
Cairo High-rises						
Durban						
	Good	Poor	Fair	High	Medium or Low	
Colour Code						
	Hazardous	Not Hazardous	Severe	Secure	Insecure	

Source: UN-Habitat, (2003)

**Figure 3:** Slum indicators revealing some of the complexities surrounding slum settlement identification, from UN-Habitat (2003)

### 1.2.2 Background to Informal settlements in Lusaka, Zambia

Zambia, the locus of this research, is a landlocked country surrounded by eight other African nations (Mulenga, 2003) and underpopulated in relation to its geographical area (Swab, 1993). The country, according to World Bank (2020) has a population of approximately 17 million and is often referred to as a ‘southern’ state contrary to geographical location (UNDP, 2001). Lusaka city, situated in the south east, less than 100 miles from the border with Zimbabwe (See Figure 2), was not unplanned according to Mulenga (2003), although growth elements associated with cities were not factored and considered against its intended purposes in that planning. Lusaka as an administrative city emerged in the early 20<sup>th</sup> century as a consequence of rapid economic growth in the production of copper in Zambia, sparked by the need for transportation of goods and services (ibid). This historical event encouraged migration to the capital with a blend of all the ethnic groups in Zambia, including people of Asian, Afrikaner and those of European origin (ibid). Mulenga, (2003) and UN-Habitat (2007) note that pre-independence in 1964, many regulations of post-colonial era allowed and even encouraged the flow of rural-urban migration which was instrumental in the urbanisation of Lusaka. However, growth of the urban population saw it double in the ten years post-independence and has continued to grow at a geometric rate.

The consequence of post-independence human migration, from rural areas of Zambia to the urban areas, presents a sizeable contribution to the constitution of the current informal settlements in Lusaka, although squatter settlements were noticed pre-independence (UN-Habitat, 2007). Based on urban profiling carried out by the UN, there are 35 informal settlements - where 70 per cent of the urban population of Lusaka lives - often referred to as “improvement areas”. These areas, according to UN-Habitat (2007), are legalised through the signing of a formal agreement from government that guaranteed security of tenure – “protection from involuntary removal from land or residence except through due legal process - (UN-Habitat, 2003)”, reviewed after 30 years. This is supported by (Strobbe et al., 2013) citing “Housing (Statutory and Improvement Areas) Act of 1975” which affirmed the legality of most slums in Zambia. UN-Habitat (no date) recognises the concerted effort by the Zambia government to acknowledge informal settlements, although they maintain that many of these policies are unclear and clouded in suspicion. Habasonda (2012) reported over 43 slum settlements, housing at least 70 per cent of Lusaka urban residents, and contacted over 20 relevant slum stakeholders, mostly non-governmental from across the globe to document the missions and goals of these establishments (see appendix A). These data are essential to understand the challenges facing slums and to provide justification for interventions.



**Figure 4:** Zambia, national map (cities, major roads, rail lines). Source: Hoffine (2013)

Habasonda (2012) in his remarks on that study, reflects on the disposition of informal settlements in Zambia to flooding and wrote on dwellers ‘democratic rights and struggles,

attributes such as poor infrastructure, wages, and weak construction materials were used to illustrate the conditions expected of informal settlements, these statements were supported by Napier, (2002); Mulenga, (2003); Marx and Charlton, (2003); and UN-HABITAT, (2007). Diverse construction materials, including grass, are used by informal dwellers for the erection of houses as reference by Mulenga, (2003); Marx and Charlton, (2003). Habasonda, (2012) noted in his report that informal settlements are predisposed to diseases, affiliated with crime and unlawfulness and sustained argument on settlement houses built on transient lands. The below table provides a snapshot of Zambia and Lusaka’s demographic information, sourced from World Bank, (2020).

Zambia	
Area	753,000 sq. km
Population	17 million (approx.)
Urban population	43% (approx.)
Population living in poverty	60 per cent
LUSAKA (CAPITAL)	
Area (province)	21,896 sq. km (size of Wales – 20735 KM <sup>2</sup> )
Area (urban district)	360 sq. km
Population	3.2 million (approx.)
Population without safe water	12% (approx.)
Population without adequate toilet facility	30% (approx.)
Number of households	450,000 (approx.)
Number of informal settlements	37
Population in informal settlements	800,000 (approx.)
	Source: World Bank Data (2020)

**Table 2:** Demographic information of Zambia and capital city Lusaka.

An assessment of nations in the global south by (Arimah, 2010) identifies the extent of the issue in Africa, with only two nations bordering Zambia documented in 2001 to have under 50 per cent of the urban populace living in slums.

### **1.2.3 Zambia Infrastructural Challenges**

Zambia is considered a poor country, with low per capita income and one of the highest levels of international debt (Mulenga, 2003) and over 70 per cent of urban Lusaka living in peri-urban settlements (Habasonda, 2012). The economic situation was different up until the 80's due to the copper-boom era, which allowed for subsidies to be introduced by the government across various sectors (World Bank, 2002). This was later rescinded, triggering the low household income witnessed in many Zambian cities and associated drop in living standards, especially among the powerless poor urban settlers. This further affected government investment in infrastructure development in the city and the ability to modernize and continuously maintain urban infrastructure and institutions (Mulenga, 2003). Inadequate infrastructural development appears substantial and historic, which not only disproportionately impacts the socio-economic and environmental satisfaction of poor urban dwellers, but also worsens the already inadequate provision of space and housing to accommodate rural-urban migration and other factors associated with population growth, forcing residents into poverty and unplanned areas (World Bank, 2002). Between 2006 and 2016 it was estimated that the deficit in infrastructure in urban Zambia, such as provision of roads, electricity, drinking water and sanitation, required US\$1.6 billion annual infrastructure investment to bridge the US\$500 million per annum infrastructural deficit which has been ongoing in urban Zambia since independence (UNDP, 2016).

Policy makers may have assumed that new arrivals to the cities to stay for the short term, which could account for the apparent lack of planning and development in informal settlements. The current conditions and continued growth of informal settlements further exposes the lack of social amenities, durable shelter, policing, clean water, schools, sanitation, roads, transportation and accessible health services among others. The permanent nature of the settlers in the post-independence population expansion led to the enactment of the Improvement Area Act 1974, giving powers to inhabitants of underdeveloped areas within the city to invest in the construction of houses with minimal policy supervision and further upgrading supported by a US\$20 million loan from the World Bank. This, however, also paved way for demolition of some houses for road construction activating further socio-economic and infrastructure

challenges. Further concerns such as the agricultural famine of 1992 also dented the hope for community cohesion to participate in settlements upgrading (Mulenga, 2003).

Another contributor to slow infrastructure development in Zambia could be associated poor stakeholder management and community cohesion as they affect issues of ownership and maintenance. These issues seem to be evident in some communities where infrastructure installed by government is often damaged or abandoned by residents and avenues for dealing with this through government institutions appears inadequate, especially in peri-urban settlements of Lusaka (Mate, 2001). Due to the failure of stock management practices Lusaka City Council have revised ways of engaging communities to encourage active participation in the management of facilities, this gave birth to the Residents Development Committee (RDC) (Mate, 2001; Mulenga, 2003). These committees are set up to provide support in the areas of building capacity to manage urban challenges such as solid waste, water supply and school construction (ibid). Although these committees may be collaborating and benefiting from the Government through the creation of small and medium enterprise and bidding for contracts, they are at the mercy of numerous factors including government policies, which could threaten the foundation of these voluntary organizations and may raise socio-economic and poverty concerns within informal urban settlements (Mate, 2001).

The infrastructural neglect in many cities of Zambia is noticeable and is likely to be linked to the slow economic development rate recorded till date and the resultant hike in government borrowing, sourced to manage the decline in fiscal growth and attract investors. For the nation to combat current and future challenges of climate change, informal urban settlements, capacity building and poverty, there appears to be a need for substantial improvement and investment in infrastructural capacity of urban areas of Zambia. For this to happen, Foster and Dominguez (2010) suggested a restructuring of the 'administrative and regulatory processes' as investment in infrastructure could boost the Zambia economy (gross domestic product) by 0.6 per cent annually.

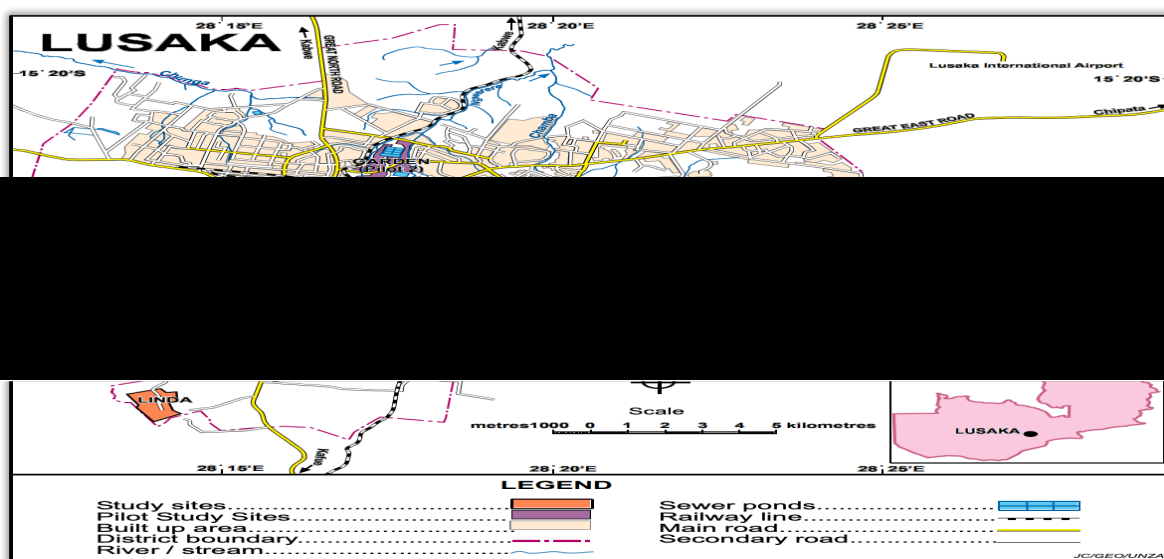
While mass tourism contributes to climate change linked to rural urban migration and local displacement (Liu and Mwanza, 2014), it also raises questions of gentrification accompanied by new investment in infrastructure by visitors, that accords less significance to culture and traditions, historical contents and natural heritage (Rolfes et al., 2009). This neoliberalist approach only marginally engages slum communities and captures the voices of the slum

inhabitants. Contrarily, tourism has been known to boost infrastructural development as policy makers often engage in infrastructural improvement as they scramble for tourists by promoting destination image and branding through the creation of new libraries, tourist and learning centres for cultural engagement, recruitment of tour guides and the facilitation of new research (Kalandides, 2011; Hernandez and Lopez, 2011; Hernandez-García, 2009). The consequence of these developments could pitch one section of the community against the other, for example the privilege against the poor, young versus the old and business owner over the jobless within society, creating sense of fear and “others” (Frenzel, 2016).

### **1.3 Description of Study Area**

Kalingalinga is one of the documented informal settlements in Lusaka, located east of the city’s central business district and has a total area of 10.4 km<sup>2</sup> with an approximate population of about 39,139 people (a density of 3,771 people per km<sup>2</sup>) (CSO, 2012). See Figure 3 for map showing location in the city.

Founded early in the history of Lusaka it was originally intended as a farming site for a group of Asian farmers. By the early 1960s the settlement increasingly became recognized as a residential area as more native migrants took up urban residence (World Bank, 2001). With increased demand for housing, coupled with institutional failures by colonial structures in providing housing for the local people, European and Asian farmers with vast tracts of farmland started engaging in what became known as ‘native farming’ which attracted people to settle in the area. By the beginning of the 1970s, the settlement was gazetted as an illegal settlement by the Lusaka City Council (LCC) (World Bank, 2001)



**Figure 5.** Location of Kalingalinga. Source: Simatele, 2010 (extracted from Joseph Chalila, 2010), Cartographic Unit, Geography Dept., University of Zambia, Lusaka

Kalingalinga is a Nyanja word for a person who moves from place to place, denoting its previous role as a transit area (Simatele, 2010). During the post-independence period, the area was characterized by political clashes that led to the movement of people and establishment of other settlements within the city (Nkole, 2018). Characteristic of such settlements the housing structures were basic, built with mudbrick and metal roof sheets which were vulnerable to inclement weather (Nkole, 2018; World Bank, 2001). The poor drainage of the soil and presence of pit latrines that contaminated the water of the wells that serviced the area threatened the health of the residents which was further compromised by the inadequate health facilities (Goethert & Oestereich, 1987; Nkole, 2018). The settlement was lacking in other public services and facilities such as schools and security deepening inequalities (Nkole, 2018). As an informal settlement, Kalingalinga was under threat of demolition by the local council, leading to strained relationships and reinforcing negative perceptions of the area and its residents, some of whom were compelled to relocate to other settlements (ibid). Kalingalinga compound is often exploited by the affluent and well to do in Zambia society, mainly to observe how the “others” are living (Frenzel, 2016).

The Lusaka Urban District project initiated by the World Bank (WB) (Mulenga, 2003; Simatele, 2010) did not include Kalingalinga, perhaps, this may be due to the WB concerns on poverty growth in Sub-Saharan Africa (Acioly, 2003) and early extensive research documentations on the upgrading of low-income settlements in Africa, including reports on Kalingalinga showcasing old mudbrick structures within the settlement (World Bank, 2002). The project saw the building of over 30,000 newly renovated peri-urban structures elsewhere

across Lusaka city in 1981 and is recognised as one of the earliest slum upgrading interventions in Sub-Saharan Africa (World Bank, 2002). The interest and early research on slum settlement in Zambia by several international organisations commenced in the early 1970's, with encouragement from Ministry of Local Government and Housing and LCC. The interest also helped in strengthening the capacity of regulations and standards on housing, such as the Land Act, Cap 289, National Housing Act, Cap 426 and Local Government Act, 1991. These interventions were often not without oversights, which includes factors such as lack of considerations on the financial sustainability of the scheme, inclusion of Community Based Organisations (CBO), slum inhabitants and other stakeholders. However, the scheme saw a boost in economic activities around upgraded areas (ibid)

The upgrading of Kalingalinga settlement between 1980 and 1987 was a joint venture between the Government of the republic of Zambia and the federal republic of Germany. It was seen as a comprehensive settlement upgrading project integrating physical, social and economic improvements. Once completed, follow-up support continued until 1992 (World Bank, 2002). During this period a store was constructed offering building materials to residents and material loans were provided to the families to improve their dwellings. In 1983 a new water network was introduced. A first block of a school was started, and teachers' housing was built. A clinic and nurses' houses were constructed. The main street was paved, and street lighting was installed. New water standpipes were installed in sections. By 1986 the physical measures of the project were completed, whilst community development and economic promotion continued for a further 6 years.

The project took a participatory approach to settlement upgrading and urban planning with the goal being to involve people in decision-making, planning, actual upgrading processes, and to integrate social and economic improvements along with upgrading houses and infrastructure. The interest of the community was considered which resulted in the implementation of a successful micro-loan program to support further collaborative effort in upgrading of the settlement (World Bank, 2002). Accordingly, one would reasonably argue that many subsequent developments that continue to shape Kalingalinga today are a direct consequence of the upgrade initiatives that began in the 1980s. An incremental approach to infrastructure and service provision was used to roll out project deliverables.



Today Kalingalinga is seeing an inflow of different people in search for business opportunity and accommodation (Chikuta et al., 2017). There is also a growing interest from the business community in the area, evidenced by the number and mix of businesses and commercial activities that are engulfing and taking residence in the area. This is resulting in most of the properties, particularly homes being converted into business and office spaces. Selling, for some, has become lucrative while others are feeling the pressure from both the business community and wealthy private purchasers who are offering them competitive prices for their properties. This has seen a number of the old poor residents displaced from the settlement (ibid). From the perspective of Kennedy and Leonard (2001) these types of development trends, are clear indications that gentrification is in progress. However, it is necessary to exercise caution in assuming that these changes amount to successful gentrification or improved welfare of the local population. They also emphasize that gentrification does not automatically occur when higher income residents move into a lower income neighbourhood, for example, at a scale too small to displace existing residents, or in the context of vacant land or buildings. Nor does economic development and revitalization necessarily imply gentrification. Tenants can leave their units for a range of reasons, so departures in a revitalizing neighbourhood do not necessarily mean gentrification is occurring.

Despite efforts to upgrade the settlement, most of the residents continue to live in squalid conditions. Greater proportion of the residents of Kalingalinga uses pit latrines, which are in a poor condition, pit latrines are also a source of unpleasant odour especially during the hot season (Mulenga, 2003). Mulenga also revealed poor garbage collection and that some of the housing structures in the settlement also present a danger to the lives of the people due to overcrowding in terms of high room-occupancy rates, coupled with poor ventilation and cooking practices that expose residents to many respiratory diseases such as tuberculosis. The exposure of the settlement to flooding during the raining season also impact on living condition and human health leading to destruction of properties, power failures, homelessness, business disruption and diseases transmitted through water for example cholera and diarrhoea (Simatele, 2010). These challenges according to Simatele further exacerbate poverty condition within the settlement due to low sales and loss of livelihood.

Kalingalinga compound considering above challenges is resilient and constantly looking for ways to cope and make necessary adjustments (ibid). Due to its close proximity to the University of Zambia and location on one of Lusaka's busiest transit routes, Alick Nkhata road,

Kalingalinga receives a fair share of local and international tourists and people visiting the area for research purposes, familiarization walks of Kalingalinga to see the intricacies of informal settlement conditions as well as to access the local economy by buying local products such as sisal outdoor furniture and others. It is in this context that this study sought to examine the role of slum tourism and situate it as a potential tool for poverty alleviation and empowerment of local slum residents.

#### **1.4 Slum Tourism: An Emerging Concept for Slum Revitalization**

To continue to remain a competitive and a viable commercial activity, tourism and its products continue to evolve according to the preferences of consumers, trends and the conditions of space and time. This makes it a diverse sector that includes a variety of destinations and activities at prices to suit a range of budgets for both supplier and consumer. As locations become more accessible and visible the demand for unique experiences that cater to different needs including leisure, education, altruism and business has increased. Ratho (2019) reports that an estimated one million people choose to go on slum or poverty tours every year, with people not only wishing to witness the poverty but also study it and the innovation it inspires and assist in addressing challenges face by these communities.

Frenzel et al., (2015) postulate that slum tours, as a concept, can be traced to the act called “slumming” in the 1860s; “slumming” was used to mean visiting the slum for illicit or suspicious purposes. Slumming was popular with more privileged Londoners who toured the slums of the East End in the late 19<sup>th</sup> Century (Ratho, 2019). The practice of slum tourism has more recently become established in countries of the global south including Egypt, Ghana, India, Jamaica, Mexico, Namibia, Philippines and Zimbabwe (Rogerson & Mthombeni, 2015).

Slum tourism presents a paradox and divides opinion, it can be viewed as an exploitation of the poor with their abject living conditions on display, by contrast the tours can give visibility to positive aspects of the lives of slum inhabitants. Witnessing and engaging with the rich culture, ingenuity and hope that exists in these communities can dispel misplaced assumptions and foster relationships and interactions that can spur socio-economic development (Frenzel *et al.*, 2015).

Slum tourism can be adopted as a vehicle for change, as in South Africa where it has been employed to transform the mostly white owned tourism industry (Rogerson, 2004). In analysing slum tourism in South Africa, researchers note that tourism deals with developmental aspects through a pro poor approach, for instance, in the ways it may alleviate poverty or support business development in townships and the benefits it may bring to slum

residents (Booyens, 2010; Frenzel et al., 2015; Koens, 2012). Generally, little evidence has been established towards significant positive economic effects in slum studies, instead several problems have been highlighted and poverty appears to persist. This cycle of poverty and lack of meaningful transformation in many slum settlements often feed into the growing criticism of the practice against proponents of the tour activities who continue to link slum tourism with poverty alleviation (Frenzel *et al.*, 2015)

Slum tourism, unlike traditional forms of tourism has been known to encourage the empowerment of citizens, as it assumes communities are endowed with unique abilities and assets (Skinner, 1997). In focussing on the abilities and assets of the community to create an environment for improvement and development an intention is set for initiatives that may reduce the negative consequences of tourism and create a platform for meaningful exchange. Through personal development, capacity building, networking and partnership with tourists the voices of the poor become louder and more appealing to external stakeholders who may be interested in ventures or ideas articulated by members of the community. Zambia is an emerging touristic destination and efforts to develop touristic institutions are intensifying (World Bank, 2010).

## **1.5 Research Problem**

The slum settlement of Kalingalinga situated in Lusaka, the capital city of Zambia is a product of the fast pace of growth in the urban population and is linked to the lack of adequate provision for the accommodation of new migrants to the city, which continually stretches limited urban resources and creates socio-economic conflicts. The attraction to the slum was founded on the basis that slum settlements are unique spaces of poverty and interest, furthering the desire by many media houses, researchers, non-governmental organisations and many establishments to take interest. Attempts to eradicate slums or manage slum proliferation in many urban settings continue, and often result in failure. Many cities have addressed these challenges through forced evictions, displacement or resettlement yet the challenges of slums persist, and new settlements re-emerge revealing limitations of past approaches. Some of these failed approaches are still in use by governments in many parts of sub-Saharan Africa including Kalingalinga settlement, especially in the gentrification exercises creeping into the social fabric of the settlement, exposing Kalingalinga slum to the full force of commercial exploitation, apparently by overseas investors.

Therefore, the purpose of this research is to explore the concept of slum tourism as an alternative way of managing or improving the life of slum settlements in Lusaka, based on case

study of Kalingalinga. The research aims to examine the potential of Kalingalinga slum settlement to sustainably co-exist side by side with urban Lusaka and contribute to the economic development of the city. In doing so the study reviews existing slum eradication policies and explores the viability of slum tourism especially the pro-poor tourism (PPT) element, which seeks to generate net benefit for the poor. The study further investigates the research gaps in slum by proposing a new framework of exploring slums adapted from literatures and makes recommendations for policy makers in Lusaka responsible for managing the growth of slums.

## **1.6 Research Goal**

To explore the viability of slum as an urban tourism resource and a tool in poverty alleviation in Kalingalinga slum of Lusaka, Zambia

## **1.7 Research Objectives**

- To explore the potential and existing tourist attractions in Kalingalinga slum.
- To assess the contribution of slum tourism to the socio-economic development of Kalingalinga slum.
- To investigate the role stakeholders, play in promoting slum tourism in Kalingalinga slum.

## **1.8 Research Questions**

Is slum tourism a viable option for improving the lives of residents or reducing poverty in Kalingalinga slum?

- What are the main tourist attractions in Kalingalinga? i.e., are there suitable attractions to tourists?
- What are the potential benefits of slum tourism in Kalingalinga?
- What are the challenges of slum tourism in Kalingalinga?
- What activities are stakeholders undertaking to promote slum tourism in Kalingalinga?

Each research question had sub questions tailored to each stakeholder group (see appendix D).

## **1.9 Summary**

This chapter provided a brief overview of slums, their characteristics and global academic/theoretical discourse on the phenomenon. While informal settlements have been

known to evolve within urban settings and house many poor urban settlers, it appears efforts to halt their spread have been less than ineffective or may not have been a priority in nations where they continue to persist. Although urbanisation would appear to be a natural process in development differing trends of urbanisation between developed and developing nations call for research into alternative methods to address the issue of slum proliferation and hints at the inequalities that prevail. A gap has been identified in the existing study of slums and interventions that may provide solutions that are more tailored to specific slums and their unique dynamics. Ultimately addressing this gap will provide a contribution to knowledge on the viability of slums as an urban tourism resource and a tool in poverty alleviation and its knock-on effects on welfare in Kalingalinga, Lusaka, Zambia. The potential of slum tourism as a panacea and theoretical lens through which this thesis explores poverty alleviation is touched upon in this chapter and more in-depth discussion is entered into in Chapter 4.

Secondly, the background of informal settlements in Lusaka, Zambia was reviewed and highlighted the poor state of infrastructural development in the country, which appears exacerbated by the proliferation of these neighbourhoods and threatens the health and development prospects of its residents. Considering the number and size of slums, the non-visibility of slum settlements in Lusaka is a concern, considering their impacts and implications for a considerable proportion of the urban community. Slum tourism could potentially be relevant in driving visibility of poor communities. As an integral part of the urban system, slums play a significant part in the development and prosperities of cities. Their ability to house and sustain a large proportion of the urban population hints at the untapped potential that exists within these spaces. Kalingalinga, the settlement of focus in this thesis, was described from a historical context that is important in understanding the profile of the area today crucial to the building of a conceptual framework of proposed slum tourism that was tested during fieldwork and discussed in later chapters (5, 8, 9).

A more detailed discussion of slums and their visibility as they affect the prosperity and sustainable development of cities follows in chapters 2, 3, 4. This lays the foundation for the development of a contextual framework for slum tourism development in Kalingalinga after discussion of theories related to poverty in Chapter 5.

### **1.10 Overview of structure of the thesis**

This thesis is divided into two parts with nine (9) chapters in total. Each chapter presents details of different elements of the research.

#### **Part I**

##### **Chapter Two – the global emergence of slums**

This chapter explores the discourse on the emergence of slums and discusses the concept of slum visibility, this is to provide the reader with an awareness of the wide-ranging definitions and characteristics of slum settlements. Slum formation and characteristics are further examined alongside eradication interventions of the past, to garner lessons learned and to aid in contribution to the discussion on practice and policy change, lending towards poverty alleviation. Past slum interventions are discussed to provide context for the development of a conceptual framework for slum tourism as a resource. The social and economic impact of slums, including associated push and pull factors are later considered in line with the prosperity of urban areas.

##### **Chapter Three – Interventions in slums**

This chapter begins with a review of current best practice in slum intervention by presenting lessons learned from past approaches and application to the development of new strategies. The potential of the tourism sector is later explored due to commodification and leakages, which traditionally exclude slum dwellers and settlements. The chapter overall raises questions and roles of local and international organisations working in slum settlement.

##### **Chapter Four- Achieving sustainability in slums**

This chapter focus on the concept of sustainability and the potential barriers to building a prosperous urban community. The chapter was discussed in tandem with some key indicators expressed within the sustainable development goals. The lack of drivers of sustainability in slum settlement can be costly, leading to both social and economic concerns. These issues are further explored in this chapter to draw attention to some of the possible consequence's associated with poor communities. To address these challenges, the capacity of community to change was included to depict the benefit of community cohesion and when working on common goals.

##### **Chapter Five – A conceptual framework for slum tourism in Kalingalinga**

This chapter builds on previous chapters of the literature review and explores the multiple theories associated with social and economic challenges often present in slum settlement. The introduction of various tourism frameworks was later unpacked and role of marketing in tourism briefly discussed. Part I is drawn to a conclusion with a summary of key information from the literature review. This phase informs the formulation of research questions and choice of methodology.

## **Part II**

### **Chapter Six – Justification of research method**

This chapter unearths the research design and strategy, including the methodology, data collection and analytical tools utilised. The research began by stating purpose of the research, then present an overview of the research approach. The research philosophy and justification were explored and use of case study evaluated. Research data collection which adopted the use of interviews, focus group, and in-depth analysis were examined and further analysed through a thematic analysis. The chapter closes by looking at research objectivity and bias, and discussion of research robustness, validity and ethics.

### **Chapter Seven – Findings**

In this chapter the research findings are presented, including information gathered from the tour of Kalingalinga, interviews of participants, focus group discussion and in-depth interviews, with photographic evidence. The chapter begins with a profile of the study area to provide a contextual background through which the evidence gathered may be better interpreted. This is followed by a narrative on the tour with photographic evidence alongside excerpts from interviews and discussions. The chapter concludes with a personal reflection and observation and a proposed framework for slum tourism based on findings.

### **Chapter Eight – Analysis and discussion**

In this chapter the research findings are analysed and discussed to give meaning to the findings, examining the case for the slum as an urban tourism resource in Kalingalinga slum settlement. At the beginning of the chapter the themes of the research are explored in line with findings from fieldwork, with the use of NVivo word tree query analysis to discuss the viability of slum tourism. The chapter ends with a presentation of further analytical results from NVivo using matrix coding.

## **Chapter Nine – Reflection and conclusions**

This chapter presents the conclusion bringing together information gathered from the literature review and the fieldwork to make recommendations for policy and future research works that may be required. The limitations of the study, research impact and the feasibility of the introduction of slum tourism in Kalingalinga and its impact on the study of slums across sub-Saharan Africa are presented to bring the research to a close.

### **Roadmap to Literature review**

The Literature review starts by unpacking slum settlements from a global perspective, major slums were explored such as Dharavi, India, Kibera, Kenya, the favela, Brazil, townships in South Africa and Ashwa'iyat, Egypt to have an understanding of expectations and the push and pull factors that shape these settlements including complexities and multiplicities of people that call them home. The literature also reviews factors that play key roles in slum proliferation, the characteristics of slums and the role played by stakeholders in policy formulation. This step is required to evaluate the historic and current interventions in slums and to determine how the voices of the dwellers are captured in the shaping of the community and whether there is a tool for readdressing the challenges of slums. The resilience shown by dwellers is captured in their struggle for space, the literature reveals aspects of slum settlement other than a space such as neighbourhoods fighting for relevance, recognition and wishing to be integrated as a contributing economic entity. This led the researcher to investigate the sustainability of such communities and the likelihood of achieving formality in an informal settlement, and the developmental tools that are in existence that could be pro-poor. Finally, the research further explores frameworks adopted in various slums considering the homogeneity of the people and complexities of the space to aid the construction of one for Kalingalinga slum settlement in Lusaka, Zambia.



## **2 THE GLOBAL EMERGENCE OF SLUMS**

### **2.1 Introduction**

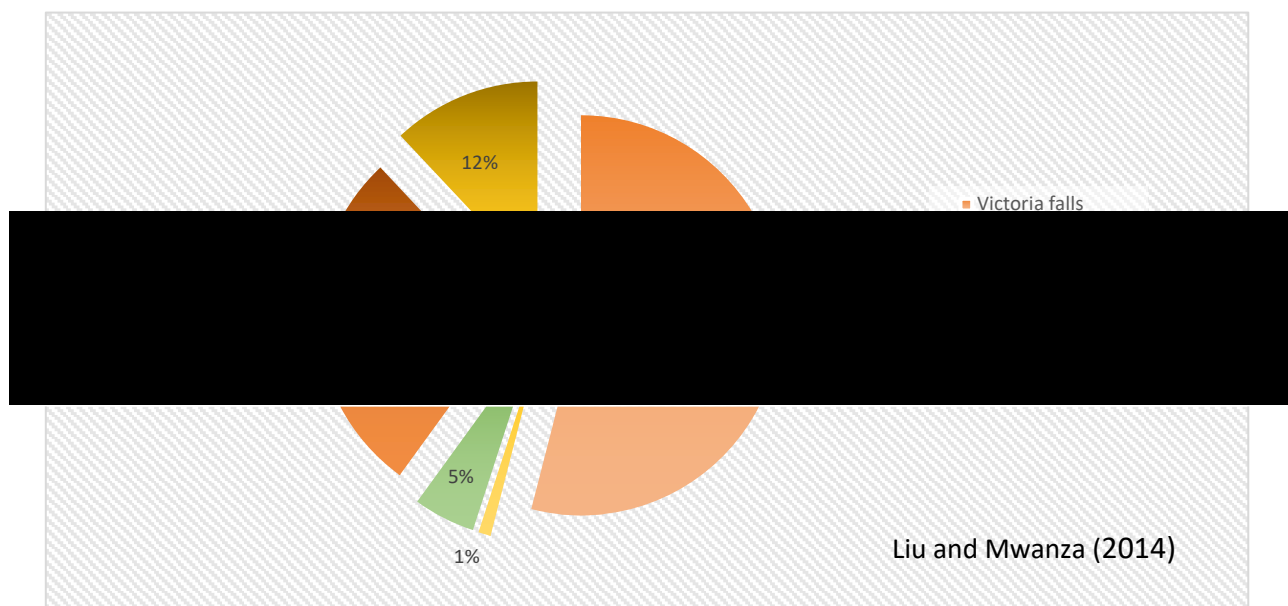
This chapter endeavours to deconstruct the concept of slum, by firstly defining them and showcasing their characteristics as they have evolved globally over time. While definitions may vary, they all highlight similar characteristics witnessed across slums and expose the need for research to understand why some slums present as places of hope and others despair. Although, slums have received considerable mention from researchers, they are still generally being analysed from an environmental and household perspective. Considering the diverse nature of, peoples, cultures and socio-economic profiles across and within countries this description appears myopic. This chapter aims to explore current knowledge of slums and their formation which informs the evaluation and construction of interventions intended to improve prospects of slums and the wider environment in which they exist. This evaluation is partly a reflection of the complex nature of slums, as determined by spatial factors, definitions, mobilities and the multidimensional views of what slums truly resemble (Frenzel et al., 2015; Marx et al., 2013; UN-Habitat, 2003).

The issues of slum settlements have become a global challenge whose development and growth are often associated with migration, globalization, poverty and urbanization, and slums are often portrayed as squalid, overcrowded, crime and disease-ridden neighborhoods (Habasonda, 2012; Hofmann et al., 2008). In this chapter the sources of slums and the links that exist between urban and rural areas are examined, as well as whether these factors influence the development and conditions of slums. In seeking and identifying connections it is intended to add to the policy debate on capacity building within slum settlement as a means to overcome barriers to opportunities. The challenge of slums has historically been mitigated with interventions including eradication and resettlement that have proved ineffective as slums continue to proliferate, these approaches are presented here to begin to determine a more comprehensive way forward, that takes into account lessons learned and lends to the development of an inclusive method of restructuring.

### **2.2 Slum Tourism as a development and interventionist tool**

Tourism is a valuable contributor to gross domestic product of many countries and is gradually becoming an economic lifesaver with links to poverty eradication and in enhancing food security (Richardson, 2010). Evident in recent developments in the tourism sector is the

generation of stimulus for pro-poor growth and the rise in foreign visitors to less developed nations, although there are contrary opinions on how effective these contributions are (Manyara & Jones, 2007; Richardson, 2010; Rodary, 2009). The United Nations World Tourism Organisation (UNWTO) reported a 4% increase in tourism activities worldwide in the third quarter of 2016, a positive indication of growth and relative stability in the tourism sector (UNWTO, 2016). The increase in tourism activities resulted in export revenue of over US\$1.5 trillion in 2015 and developing countries are reported to have immensely benefited (ibid).



**Figure 6.** Statistics of tourism destination spots in Zambia, from Liu and Mwanza, 2014

The figure above shows the tourist activities in Zambia with the top two categories being Victoria falls and viewing wildlife. Tourism has always been recognised by developing countries as a foreign income generating mechanism including attracting international investment as reported by Torres and Momsen (2004). Bandyopadhyay and Tembo (2010) and Richardson et al., (2012) believe that tourism mostly benefits the rich, compared to the advantages derived by the poor. However, Christie et al., (2014, p. 95), state that tourism ‘can provide an economic base for a region, whose only development options are its cultural and natural resources, whether coastal, mountain, or wildlife or a combination of these.’ African nations, through their diversity according to AfDB (2016) are well positioned to reap further economic benefits from continued improvement in infrastructure, policies, and increased investment in the burgeoning tourism sector. The organisation noticed that international tourism on the continent in 2014 attracted 65.3 million visitors and generated US\$43.6 billion

in revenue. Tourism created over 8.7 million jobs, the African continent has also aligned itself with New Partnership for African Development (NEPAD) and adopted agendas such as Tourism Action Plan (TAP), The Yamoussoukro Decision and Program for Infrastructure Development in Africa (PIDA) (AfDB, 2016).

The tourism sector is unique with intrinsic characteristics and benefits as noted by Richardson (2010). The distinctive attributes of tourism are concomitant with it reaching out to other organisations related and beyond the scope of tourism (Akama & Kieti, 2007). The bedrock of tourism development, however, lies in enshrining the engagement of local communities in participating in the planning, design, monitoring and management of tourism projects in its foundation, to deliver sustainable poverty alleviation and environmental programmes (Marx, 2011). The non-positive effects of tourism ranging from tourism leakages to conflicts have also been reported by researchers (Akama and Kieti, 2007; Marx, 2011; Richardson, 2010). According to Marx (2011), nearly 55 per cent of tourism revenue generated from host countries is expunged through tourism leakages further diminishing impact.

The total number of tourists visiting Zambia is on the increase and this positive trend is likely to be sustained (1.4 million visitors were expected in 2015 compared to 815 thousand that arrived in 2010) – (Liu & Mwanza, 2014). The tourism and travel industry contributed close to USD 2 billion in 2019 (7% of GDP), with tourist spending over USD 800 million (Tabetando, 2020). The African tourism market seems attractive to tourists, although the generation of foreign income has blinded tourism focus and the continent may need to explore various ways of annexing the potential of tourism to meet the daily needs of the urban poor, a fundamental requisite of tourism (Koutra & Edwards, 2012). The economic implication of this was summarised by with four key components “incomes from formal employment, earning from selling goods and services, taxes from local enterprises and collective income,”(Ashley et al., 2000). The integration of tourism with poverty alleviation policies appears to be crucial in the experiences tourists hope to gain on this journey and pro-poor tourism could play a key role in identifying how to design policies and projects sustainable enough to change current tourism status quo to lay emphasis on providing benefits to the poor. To gauge the level of tourism development in sub-Saharan nations the Africa Region Financial and Private Sector Development (AFTFP) of the World Bank classified tourism development level into four categories (Christie et al., 2014), table 9 shows the classifications of different African nations.

- a) Pre-emergent - tourism sector is yet to be created or explored

- b) Potential – tourism sector is in its infancy with some challenges
- c) Emerging – tourism sector is up and running, and institution improving
- d) Consolidating – tourism sector is advance and succeeding

Tourism development level	Low income	Lower-middle income	Upper-middle income
Pre-emerging	Central African Republic, Chad, Comoros, Democratic Republic of Congo, Eritrea, Guinea, Guinea-Bissau, Liberia, Niger, Somalia, Togo	Republic of Congo, Equatorial Guinea, Sudan	N/A
Potential/Initiating	Benin, Burundi, Ethiopia, Madagascar, Mali, Mauritania, São Tomé and Príncipe, Sierra Leone	Angola, Cameroon Côte d'Ivoire, Lesotho, Nigeria, Swaziland	Gabon
Emerging/Scaling up	Burkina Faso, The Gambia, Malawi, Mozambique, Rwanda, Senegal, Uganda, Zambia, Zimbabwe	N/A	The Seychelles
Consolidating/ Maintaining and deepening success	Kenya, Tanzania	Cape Verde, Ghana	Botswana, Mauritius, Namibia, South Africa

Sources: World Bank Country Income Classifications 2009; World Bank 2010a. Note: N/A = not applicable. Income ranking from GNI per capita.

**Table 3.** Tourism development levels based on country income classifications (World Bank 2010).

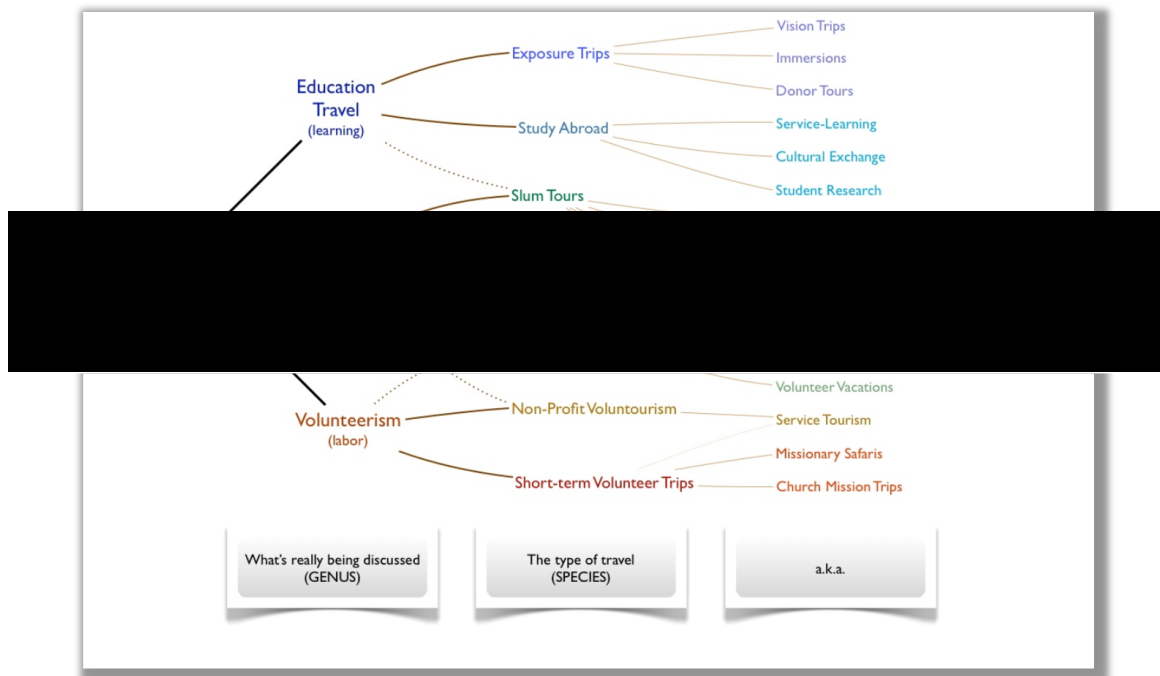
Clayton (2003) observed that tourism in emerging economies is still plagued by inward looking approaches (microeconomics), this view exposes the propensity of wealthy citizens or organisations to exploit tourism (Tosun & Timothy, 2001) which often pegs tourism against development among developing countries (Koutra & Edwards, 2012). Reversing this to redress power with the poor may introduce robust changes to how tourism is presented and delivered by host countries towards generating maximum impact on ending hunger and eradicating urban poverty, a key attribute of sustainable development goal number one (UN-Habitat, 2018). Tourism development in developing countries requires the right skillset, attention and education to make any meaningful impact on citizenries, these proficiencies are often lacking among many small and medium enterprises especially in poor urban settings (Victurine, 2000) in fulfilling these capacity needs Draper, Woosnam and Norman (2009), reiterate that tourism should be locally led, and incorporate far-reaching techniques (Ogbazi, 2013) to promote meaningful change and sustainability, a notion which is discussed in Chapter 4. Four factors identified to contribute to tourism sustainability (Christie et al., 2014):

- a) Financial sustainability: ‘Financial sustainability of the investments in accommodation and tourism services depends on the competence of the private sector, together with the creation of a supporting policy environment and provision of infrastructure by government, and the acceptance of tourism by the local population.’
- b) Economic sustainability: ‘The range of products and services that can be developed for tourism demand makes tourism a catalyst for entrepreneurial activity.’
- c) Environmental sustainability: ‘the dependence of tourism on natural resources makes any negative impacts more conspicuous. Tourism can only be sustainable if the natural assets on which it is based are protected from degradation. This is particularly true in Africa, which is variously marketed as a nature, wildlife, resort and cultural heritage destination.’
- d) Social sustainability: A critical concern for tourism managers everywhere is how to extend the benefits to the poor and to local communities.

The ideology of tourism being conservative and practiced by the affluent in society is changing, as visitors are now travelling with tour operators or as independent travellers not for leisure but with the single intention of touring poor neighbourhoods or volunteering, with a global pull of over one million in 2014 (Frenzel, 2016). The attraction to slum of tourists appears to be influenced by slum imagery observed through media and other social outlets (Freire-Medeiros et al., 2013; Mendes, 2010). The role of slum imagery as a potential draw to slum, divides researchers, as it does not answer the question of impacts on slum inhabitants. While some believe, it may reduce voyeurism in slum by way of distraction to tourist, others caution on the drawback of such tourism interests, which they suggested may strengthen slum gentrification (Freire-Medeiros et al., 2013; Frenzel et al., 2015).

The slum environment is a social space with many players and perspectives (Lilford et al., 2017) presenting multiple attractions to tourists, the motivations for organisations drawn to them is equally high and diverse. This has led to new trends in the tourism industry such as volunteer and developmental tourism, which are explored by many organisations as a strategy to promote slum destinations and improve organisation profiles, through pursuing actions such as ending poverty and inequalities among the urban poor (Frenzel et al., 2015). While, revenue generation through slum tourism is crucial to possible capacity building in slums, the impact of complementary services provided by many organisations towards visibility and poverty alleviation in slums are equally essential, though sometimes commonly overlooked. Slum

tourism can be classed as a form of poverty tourism which involves a range of stakeholders and activities (see Fig. 8), evidencing its potential to deliver on multiple platforms if well managed.



**Figure 7:** Cataloguing of different types of poverty tourism. Source: Ausland, (2010)

Slum tourism is usually run by tour operators and often entails 2 – 3 hour expeditions of the slum as narrated by Frenzel et. al., (2015) of tours in Brazil and South Africa. They observe that tour guides are rarely females, often local and act as the link between host slums and foreign tourist. McGehee (2014) noticed a rise in volunteer tourism, while Freire-Medeiros Grijó Vilarouca and Menezes and Koens (Frenzel et al., 2015) observed a new angle in slum tour branding to sometimes include hotel bookings and tours of historic sites in the host country. Nemasetoni and Rogerson (2005) discuss developing small firms in township tourism that have been recognised as significant contributors to the tourism industry and economic development.

The philosophy of large tour companies is often divisive as observed by Kieti and Magio (2013), who believe tour operators are often manipulative and monopolistic in their dealings with the slum dwellers, remarkably becoming the singular benefactor in the slum, a rather pernicious arrangement. Freire-Medeiros (2009), is convinced that tourists should be made aware of the actual amount of slum tour proceeds reaching slum dwellers. Tour companies'

discouragement of interaction between tourist and slum dweller as highlighted by Rolfes (2010) strangles the natural flow of slum tenants and tourist discussion, inhibiting the economic impetus needed for local community's developmental goals (Mowforth & Munt, 2009). This phenomenon is also reflective of the practice in Kibera, Kenya questioning the valorisation and sustainability of slums as highlighted by Kieti and Magio (2013). Basu and Duarte (in Frenzel et al., 2015) and Kieti and Magio (2013) consider the closure of non-performing slum tours in some settlements and lack of local resident's engagement as hinderance on the path to sustainability.

Diekmann and Hannam (2012) discuss the role of photography and film in tourism, and observe the possibilities of capturing emotions and feelings through image research, thereby creating feelings of empathy, which could induce interest to visit a place. Adey (2010), in his submission introduced the concept of tourism mobilities through photography and filming. He believes tourism mobility through destination imagery is changing viewpoints on how we understand the slums and express ourselves while on tours. Some researchers however are not in support of photography and filming due to its voyeuristic nature especially when photographs are taken without considering their implications and slum settler's perspectives (Nisbett, 2017). While tourists will pay to visit slums, other travellers are drawn by the dark or death (Lennon & Foley, 1999), a phenomenon often referred to as thanatourism (Dunkley et al., 2007). Media preoccupation with information surrounding such dark prehistoric sites such as Auschwitz and Ground Zero is one the reasons, observed by Lennon and Foley (1999) why interest in such sites is reawakening. Although, researchers Austin, Sharpley and Messham-Muir differ on the taxonomy of thanatourism and the reasons why tourists will pay to visit Thana sites (Dunkley et al., 2007).

The attraction of tourists to slum sites should not be confined to poverty alone, this practice is often viewed by inhabitants to be voyeuristic and frowned upon by many researchers. Although poverty and slum structures are usually what draws tourist to slums, other attractions could replace existing norms, showcasing slums in a new light. The lack of research, especially in Sub-Saharan Africa, may be a contributing factor to the invisibility of many slums not being considered by visitors, as may the culture and slum branding. This however does not expunge the gender biases and ethics issues that characterise the slum tourism industry.

Using Plog's model, travellers to Zambia's slums are still categorised as allocentric, with limited tourists visiting the destination which is less well known for slum tourism activities compared to places such as townships of South Africa and favelas of Brazil (Litvin, 2006). Travellers to Kalingalinga are explorative and are in the process of beginning to observe and form perspectives of the space with limited economic interaction and engagement casual (Butler, 2006a).

### 2.3 The Evolution of the definition of slums

Below are some definitions of slum that show how over time understanding and treatment of these settlements have changed (UN-Habitat, 2003), followed by experts' interpretations of the concept of slum.

1820's	'Slum was used to identify the poorest quality housing and the most unsanitary conditions; a refuge for marginal activities including crime, 'vice' and drug abuse; and a likely source for many epidemics that ravaged urban areas – a place apart from all that was decent and wholesome'.
1880's	'a house materially unfit for human habitation'.
19 <sup>th</sup> Century	'a street, alley, court, situated in a crowded district of a town or city and inhabited by people of a low class or by the very poor; a number of these streets or courts forming a thickly populated neighbourhood or district where the houses and the conditions of life are of a squalid and wretched character... a foul back street of a city, especially one filled with a poor, dirty, degraded and often vicious population; any low neighbourhood or dark retreat – usually in the plural, as Westminster slums are haunts for thieves (Dickens)'.
20 <sup>th</sup> Century	'tenement house', 'tenement district' and 'deteriorated neighbourhood'
21 <sup>st</sup> Century	'lower-quality or informal housing and terms such as slum, shanty, squatter settlement, informal housing and low- income community are used somewhat interchangeably by agencies and authorities.'

**Source:** Adapted from UN-Habitat, 2003

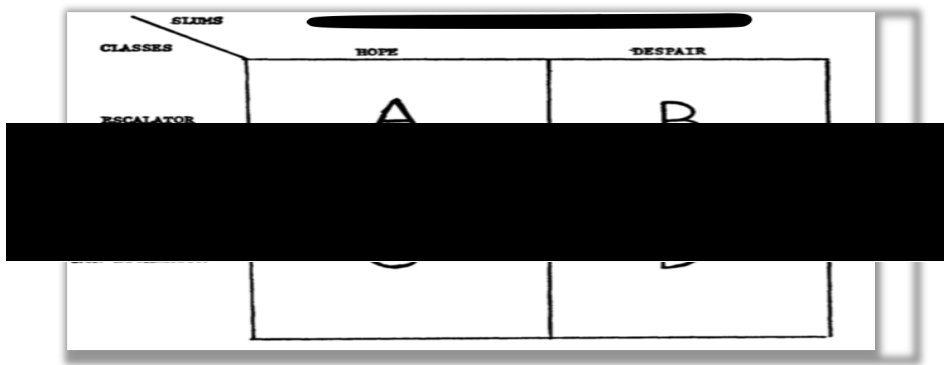


## **2.4 The Construction of Slums Settlements**

### **2.4.1 Early typology: Stokes (1962) and the slums of hope or despair**

Early definitions described slum as those sections of an urban space, which lack adequate housing, and social infrastructure and advance opposite to the normal progress of the city, and likely to obliterate the city (Stokes, 1962). This definition does not broadly explain what slums represent and appears deficient in scope, which may account for deficiencies in early attempts to address the problems of and within slums. It does not address notions of space, tenure or the need take into account migration patterns and address inadequate services, for example which in more recent times has been incorporated into definitions in acknowledgement of the complexity surrounding slum. Stokes (1962) identifies four types of slums (see Fig. 4) based on their perceived trajectory (escalator or non-escalator) and expectations of betterment (hope versus despair), a notion that is accepted and developed upon in contemporary thinking (Frenzel et al., 2015; UN-Habitat, 2003). There are various factors associated with the formation of slums and level of challenges or transformation locked within. These challenges may include the economic and social opportunities in cities which often contribute to the immigration to urban areas and other impeding factors such as religion and skin colour. To understand slum settlements, there is a need to analyse the four main types of slums, which may emanate from informal settlement of people in an urban setting, based on the model below. The determinants of these categories of slums can be analysed from a ‘psychological and social-economical’ point of view, both factors are inhibitions to formalizing status in a city, although the margins between these groups may be challenging to measure.

The psychology of people living in slums as used in this model determines the commitment of settlers to either ‘progress or decline’ and the consequences of such actions. An escalator is referred to as ‘a group of people who can be expected, barring unusual circumstance, to move up through the class structure’ this may be as a result of level of academic achievement or job experience and non-escalator class as those ‘denied in some way the privilege of escalation’ (Stokes, 1962).



**Figure 8:** Classes and categories of slum settlement. Source: Stokes (1962).

The Type A slum are the most likely to ‘disappear and are least attractive’ this is centred primarily on the premise that these slum inhabitants are mostly economic migrants and many of them will eventually be integrated into the formal urban setting and overcome some of the barriers connected with city living. This disappearance cum integration could also be accelerated if the rate of urban development progresses faster than city in-migration. The Type A slum usually results in a slum of hope, although many inhabitants of this slum may drift to other types of slums due to inability to adequately cope with city challenges.

The Type B slum are more ‘attractive, less liveable and productive’, the conditions for inhabitant progress into formal sector is hindered by the daily challenges of survival in the slum, partly due to the downward projection of the slum and the lack of progressive influences and motivations. A greater number of residents of slums of despair are less likely to move out of the slum or be integrated fully into the socio-economic fabric of the city.

The Type C slum are ‘strivers and more likely to be militant’, this type of slum is like the Type A slum. The difference is that Type C falls into the non-escalator group of people. This set of slum inhabitants as highlighted by Stokes are more likely to be risk-takers and may engage in different illicit trades such as ‘gambling, prostitution and bootlegging’.

The Type D slums are the least opportune groups of slum inhabitants, as they are commonly not visible to the urban space, with their voices unheard. They are often discriminated against based on their ‘different colour, religion or race’. These groups of people may not likely leave the slum as their position or status in the city is constantly questioned and challenged. They are less equipped to secure opportunities in the city, unlikely to take risk and are often ostracized from participating in the economic development of the city or whose contribution are less

wanted (ibid).

More recently, the United Nations programme for human settlements and sustainable urban development are the main contributors to research on slums and principal organization with the mandate to protect the rights of slum dwellers and sustainability of slum settlements. Therefore, this research makes reference to their seminal works particularly their publications of 2003, which are also cited by many researchers on slums and slum tourism such as Frenzel, Steinbrinks, Koens and Rolfes. The United Nations Human Settlements Programme provides a basic definition of slum as ‘a heavily populated urban area characterized by substandard housing and squalor’ (UN-Habitat, 2003), these settlements usually lack security of tenure and, using Stokes’ nomenclature, broadly organize slums into two (2) main types based on their structure but without the judgements on the inhabitants:

- a) Slums of hope: “*‘progressing’ settlements, which are characterized by new, normally self-built structures, usually illegal (e.g., squatters) that are in, or have recently been through, a process of development, consolidation, and improvement; and*
- b) Slums of despair: *‘declining’ neighbourhoods, in which environmental conditions and domestic services are undergoing a process of degeneration.*” (ibid)

In the UN definitions, slum is considered an ‘informal settlement’ (also named shanty or squatter settlements) characterised by ‘illegal or semi-legal urbanisation processes, or unsanctioned subdivisions of land at the (then) urban periphery where land invasion took place – often by squatters, who erected housing units usually without formal permission of the land owner and often with materials and building standards not in line with the criteria of the local building code’(UN-Habitat, 2003) evident in many emerging economies; while security of tenure is referred to as ‘the legality of the physical structure and/or the legality of land ownership or a de facto recognition of tenure despite illegality of the structure’(ibid). Representing an increase in scope by considering physical, spatial and social and behavioural criteria. The inclusion of spatial analysis exemplifies the dynamism reflected in slum per the table below.

## Major Categories of slum spatial analysis

<b>Origins and age</b>	Historic city-centre slums Slum estates Consolidating informal settlements Recent slums
<b>Location and boundaries</b>	Central Scattered slum islands Peripheral
<b>Size and scale</b>	Large slum settlements Medium-size slum estates Small slums
<b>Legality and vulnerability</b>	Illegal Informal
<b>Development stages: dynamic and diagnosis</b>	Communities/individuals lacking incentive for improvement Slums with ongoing individual- and community-led development Intervention-led improved slums Upgraded slums

**Figure 9:** Major categories of slum spatial analysis. Source: UN-Habitat (2003).

A more contemporary definition of slum, also put forward by UN Habitat, is based on specific criteria, ‘a densely populated urban area, characterised by poor-quality housing, a lack of adequate living space and public services, and accommodating large numbers of informal residents with generally insecure tenure’ (UN-Habitat, 2012). This illustrates a shift to the inclusion of relational aspects that may contribute to the formation of slum and expands on characteristics. The slum is, more often than not, a place many urban poor find refuge and call home, consideration of the residents of these spaces may be significant in the slum. Contrarily, slums are not the only place where poor people reside in the city, as slums house both the comparatively rich and the poor. The term ‘poor people’ is a measurement of the quality of living of people based on certain criteria or indicators, although slum settings are different due to the relationship slum inhabitants and the environment shared, which is why slum settlement are heterogeneous in nature.

Slum is a habitation for the:

- a) Poor – ‘are not integrated because of an ability barrier’
- b) Stranger – ‘are not integrated because of a different culture and the stage to which their acculturation has come’

(UN-Habitat, 2012)

Definitions often differ in whether they are defining the physical location and its infrastructure, or the quality of life within it. The United Nations Educational Scientific and Cultural Organisation (UNESCO) is broadly in the former – it defines a slum as ‘a contiguous settlement where the inhabitants are characterised as having inadequate housing and basic services’ (Lilford et al., 2017). The Cities Alliance Action Plan, which is a global organisation responsible for supporting cities to deliver sustainable development, does the same, defining slum as ‘neglected parts of cities where housing and living conditions are appallingly poor’ (Cities Alliance, 1999). There are similarities in themes across definitions, however, the differences make it difficult to simplify findings in slums or link slum with recognised monitoring strategies, such as enumeration of population samples and health evaluations. The current definitions fail to recognise the subtleties that characterise these informal settlements. As such this thesis adopts a new definition which consider that slum as a disadvantaged urban space with multiple stakeholders and varied social-economic challenges, often neglected by government, prone to climatic cataclysm and whose resources are competed for by multiple institutions. While definitions shed light on the characteristics of slum, a more detailed examination is required as is recognition of the fact that neither definitions nor lists of characteristics can claim to be definitive due to the complex transitory nature of slums.

#### **2.4.2 Characteristics of Slums**

The challenges identified in the definition of slum open a general discussion on the need to articulate slum based on either an operational or general line of description. In the initial review by (UN-Habitat, 2003) many constraints in the descriptions of what constitute a slum were identified.

- Slums are too complex to define according to one single parameter
- Slums are a relative concept and what is considered as a slum in one city will be regarded as adequate in another city – even in the same country
- Local variations among slums are too wide to define with universally applicable criteria
- Slums change too fast to render any criterion valid for a reasonably long period of time
- The spatial nature of slums means that the size of particular slum areas is vulnerable to changes in jurisdiction or spatial aggregation

Further review of these parameters confines slum conditions to be analysed based on general

indicators, listed in Table 3 below alongside their operational manifestations. These characteristics constitute the experience (being a perception) that many slum dwellers and/or sections of non-dwellers have with slum settlements. Slum therefore represent different things to many people and all challenges attributed to slum could be present in some slums, while other slums may exhibit a sample of this features.

General characteristics of slums	Operational characteristics of slums
<ul style="list-style-type: none"> <li>• Lack of basic services</li> <li>• Substandard housing or illegal and inadequate building structures</li> <li>• Overcrowding and high density</li> <li>• Unhealthy living conditions and hazardous locations</li> <li>• Insecure tenure; irregular or informal settlements</li> <li>• Poverty and social exclusion</li> <li>• Minimum settlement size</li> </ul>	<ul style="list-style-type: none"> <li>• inadequate access to safe water</li> <li>• inadequate access to sanitation and other infrastructure</li> <li>• poor structural quality of housing</li> <li>• overcrowding</li> <li>• insecure residential status</li> </ul>

**Table 4:** General and operational characteristics of slum settlements. Adapted from UN-Habitat, 2003.

After a careful review of the general characteristics of a slum, an operational definition was proposed by the United Nations Expert Group, which associates various attributes to slum dwelling. These sets of factors limit the descriptions of slums according to ‘physical and legal characteristics of the settlement, excluding the more difficult social dimensions’ (UN-Habitat, 2003) and are often commonly referred to when defining slums. These indicators are based on the United Nations Millennium Development Goals and are open to local interpretation, they are very temporal in practice, as recognized by the United Nations Human Settlements Programme. Satisfying one or more of the criteria does not have an effect on the status of slum.

Characteristics	Indicator	Definition
Access to water	Inadequate drinking water supply (MDG 30)	<p>A settlement has an inadequate drinking water supply if less than 50% of households have an improved water supply.</p> <ul style="list-style-type: none"> <li>• Household connection</li> <li>• Access to public standpipe</li> <li>• Rainwater collection</li> </ul> <p>With at least 20 litres/per person/day available within an acceptable collection distance.</p>
Access to sanitation	Inadequate sanitation (MDG 31)	<p>A settlement has inadequate sanitation if less than 50% of households have improved sanitation:</p> <ul style="list-style-type: none"> <li>• Public sewer</li> <li>• Septic tank</li> <li>• Pour-flush latrine</li> <li>• Ventilated improved pit latrine</li> </ul> <p>The excreta disposal system is considered adequate if it is private or shared by a maximum of two households.</p>
Structural quality of housing	a) Location	<p>Proportion of households residing on or near a hazardous site. The following locations should be considered:</p> <ul style="list-style-type: none"> <li>• Housing in geologically hazardous zones (landslide/earthquake and flood areas)</li> <li>• Housing on or under garbage mountains</li> <li>• Housing around high-industrial pollution areas</li> </ul>

		<ul style="list-style-type: none"> <li>Housing around other unprotected high-risk zones (e.g., railroads, airports, energy transmission lines)</li> </ul>
	b) Permanency of structure	<p>Proportion of households living in temporary and/or dilapidated structures. The following factors should be considered when placing a housing unit in these categories:</p> <ul style="list-style-type: none"> <li>Quality of construction (e.g., materials used for wall, floor and roof)</li> <li>Compliance with local building codes, standards and bylaws.</li> </ul>
Overcrowding	Overcrowding	Proportion of households with more than two persons per room. The alternative is to set a minimum standard for floor area per person (e.g., five square metres)
Security of tenure	Security of tenure (MDG 32)	<ul style="list-style-type: none"> <li>Proportion of households with formal title deeds to both land and residence</li> <li>Proportion of households with formal title deeds to either one of land or residence</li> <li>Proportion of households with enforceable agreements or any document as a proof of a tenure arrangement.</li> </ul>
Note: well and Spring are considered acceptable sources in the original MDG indicator but are almost certain to be polluted in urban areas.		

**Table 5:** Detail of characteristics, indicators and definitions of slum settlement. Source: Adapted from UN-Habitat (2003).



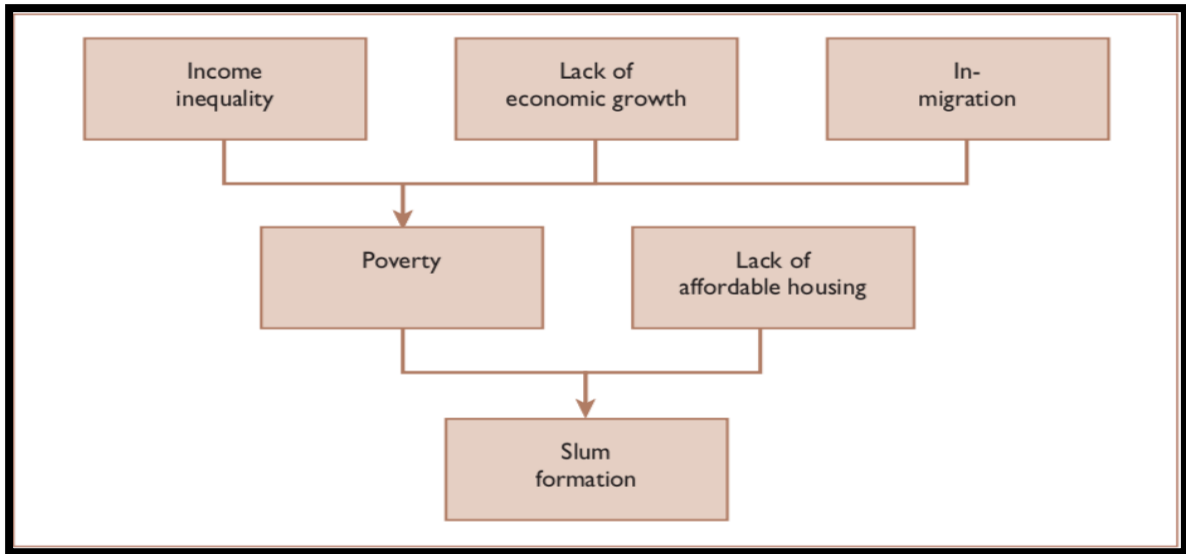
The figure above represents global characteristics of slum according to data gathered by the United Nations Human Settlements Programme, included are the indicators and definitions of each parameter. While these features do exist in many slums and challenges of these indicators persist in slums, they are not without limitations as tabulated in table 5.

SLUM ESTIMATIONS	DATA LIMITATIONS
ACCESS TO SAFE WATER	<ul style="list-style-type: none"> <li>• Good coverage at household level, but based on rural definitions</li> <li>• No information on shared public tap</li> <li>• No distinction between protected and not protected well</li> </ul>
STABLE HOUSING	<ul style="list-style-type: none"> <li>• Fair coverage in the household surveys for African, Asian and Latin American countries</li> <li>• Lack of some categories in some surveys such as wall and roof</li> <li>• No information has been given on the conditions of dwelling used for American and European countries</li> </ul>
IMPROVED SANITATION	<ul style="list-style-type: none"> <li>• No information on shared toilet</li> <li>• Good coverage at household level, but based on rural definitions</li> <li>• No information on latrine covered or not</li> <li>• No information on pit latrine versus improved latrine - Different reference dates</li> </ul>

OVERCROWDING	<ul style="list-style-type: none"> <li>• Fair coverage in the household surveys for African, Asian and Latin American countries</li> <li>• A model has been developed in the UN-Habitat to estimate overcrowding levels</li> </ul>
SECURITY OF TENURE	<ul style="list-style-type: none"> <li>• Very weak coverage in the household surveys for all regions</li> <li>• Tenure status (own or rent) is not a reliable indicator of secure tenure</li> </ul>

**Table 6:** Slum settlements estimations and data limitations. Source: Adapted from UN-Habitat (2003).

The United Nations Human Settlements Programme (ibid) also agreed that while there are dissimilarities between two slums, the factors that contribute to slum formation in many parts of the world are similar, such as the social, economic and spatial dynamics that are often present in the process of slum establishment. The role of poverty, low income and limited housing provision was recognized as a significant factor in the causality of slum formation which forces urban dwellers to seek cheaper accommodation, exacerbated by increases in city population primarily due to in-migration, which often leads to societal inequalities. The issue of land use and reuse in cities was also recognized as a contributing factor to slum formation, as the demand for land in industrial and commercial use forces increases in housing prices and pushes people to seek alternative means of accommodation (UN-Habitat, 2003). The figure below shows the factors considered to contribute to slum formation.



**Figure 10:** Causes of slum formation. Source: UN-Habitat, (2003)

## 2.5 Slum Settlements Push and Pull Factors

There are four major causes of slums as revealed in many of the cases reviewed by The United Nations Human Settlements Programme in 2003.

- a) Rural-Urban Migration
- b) Natural Growth
- c) Combination of factor a and b, or
- d) Population Displacements

Historically, there appears to have always been an interaction between the rural and the urban area and stands out as a major contributor to the proliferation of slums particularly in sub-Saharan Africa. This relationship is mostly one of symbiosis, where goods (agricultural and non-agricultural produce) are sourced from the rural area and the rural dwellers depend on the income coming from the urban area. The market dynamics of both areas also seem to coincide, for example a fall in the yield of goods from the rural area affects the price, which in turn is passed to the urban area.

There are two main classes of rural-urban interaction:

- Linkages across space (such as flows of people, goods, money and information and wastes); and

- Sectoral interactions, which include 'rural' activities taking place in urban areas (such as urban agriculture) or activities often classified as 'urban' (such as manufacturing and services) taking place in rural areas (Tacoli, 1998).

Regardless of the root cause of slums they all lend to the trend of urbanisation witnessed during various development stages of nations, as discussed below.

### **2.5.1 Urbanization**

The link between slums and urbanisation was first made clear during the 16<sup>th</sup> century, due to the movement of poor migrants to the city seeking employment opportunities. This rapid influx of people to the city – often referred to as urbanisation, created considerable housing shortages which was exploited by many landlords, who maximised income by partitioning living space for the accommodation of more migrants at the expense of quality of accommodation, infrastructure and services. The key factors responsible for urbanisation as suggested by the United Nations Human Settlements Programme are:

- Political factors: instability, civil war and repression
- Economic, environmental and social factors:
  - Pushing: environmental degradation and declining productivity of cropland; low rural incomes from agriculture; lack of new lands for farming; move to export rather than subsistence farming; enclosure and consolidation of farm holdings; limited off-farm employment.
  - Pulling: 'higher incomes in urban areas; greater employment opportunities; economic safety nets; availability of social services, education and health care; improved water supply and other environmental services and infrastructure (UN-Habitat, 2003).

Majale (2008) stated that two key challenges to Government and Local Authorities in emerging economies are rapid urban population growth and urbanisation of poverty. Africa and Asia are experiencing rapid urbanisation that places strain on infrastructure, services, labour market, climate and environment in cities (PwC UK, 2015). With trends likely to remain the same, the prosperity of cities will be influenced by how well they absorb new arrivals and harness the potential of their talents.

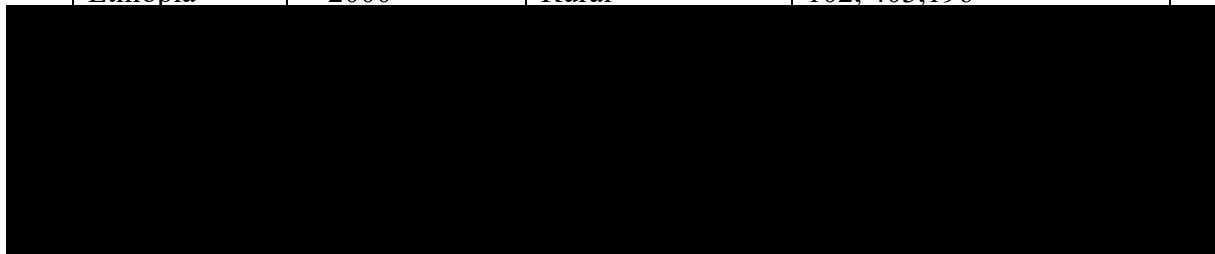
The opinions of researchers differ on what population increase in cities meant, while some believed it is a consequence of economic growth (Vijayaraghavan, 2016), others linked it to lack of equalities and fair distribution of wealth (UN-Habitat, 2012). The global urban population was reported to be 3.9 billion in 2014 and projected to grow by 2.5 billion in a period of less than four decades (UN, 2014). This forecast is partly due to rural-urban migration, which creates an uncontrolled influx of people to the urban centre with little or no housing provision (Marx et al., 2013). Some researchers saw migration to cities as a consequence of disparity in wages between rural and urban settings (Harris & Todaro, 1970). The role of urbanisation was also observed in slum multiplication (Njoh, 2015) and the economic benefits of migration for rural dwellers and why rural migrant is perceived by them as a step in the right direction (Roy et al., 2014). Sabates-Wheeler, Sabates and Castaldo (2008) note the diversity in the ethnicities of migrants (heterogeneous) moving to urban areas and some of the factors that may be responsible for such movements.

While there is a rise in the global forecast on urban population (Marx et al., 2013), debates on areas designated as rural or urban is still contestable among many nations (B. Cohen, 2006). UN-Habitat (2012), acknowledge the process of “reclassification” which is a gradual conversion of rural areas to cities, as a major factor of urbanisation in developing countries, and agree on the impact of rural migration on cities’ population increase.

The table below reflects the inconsistency in defining urbanisation among some countries in Africa and South America and how they view and categorise rural or urban settings. This data may shed light on the disappearance or emergence of rural areas in some countries and the challenges that ensue due to re-categorisation of some communities (B. Cohen, 2006).

The use of country population as a justification to determine what is a rural or urban dwelling seems irrelevant as observed in the table below.

COUNTRIES	INHABITANTS	URBAN/RURAL	POPULATION ( <a href="https://data.worldbank.org/indicator">https://data.worldbank.org/indicator</a> ) (26-12-2017)
Ethiopia	< 2000	Rural	102, 403,196



Angola	2000 or more	Urban	28, 813,463

**Table 7:** Classification of what constitute urban and rural dwelling in different countries based on inhabitants. Source: Cohen (2006).

Awumbila (2014) observed that migration is often considered an international affair, but rates domestic migration higher. The effect of urbanisation is largely felt in Sub-Saharan Africa (UN Habitat, no date; Marx, Stoker and Suri, 2013) and the region remains one of the worst places for slum dwelling based on guidelines set out in the Millennium Development Goals (Awumbila, 2014). UN-Habitat, (2009), considered the centralization of a country investments on a specific city as a contributing factor to urbanisation and estimates urbanisation in Africa to affect more than 50 per cent by 2025, other researchers such as Awumbila (2014) predicted 2030.

Habasonda (2012) considered the practical implication of urbanisation “push and pull effect” on rural and urban dwellers and noted that more needs to be done to sustain cities and curtail the growth of urban slums including its effect in smaller cities (Awumbila, 2014). The African continent still struggles to achieve the potential positive impact of rural-urban migration (ibid), this may be due to investment in infrastructural development (Habasonda, 2012). The proliferation of slums and poverty in cities is cited as one of the principal barriers towards realizing a city’s potential (UN-Habitat, 2012). The UN-Habitat, Intra Cities differentials (n.d) report is concerned about the rise of poor people in cities and identifies challenges such as housing and essential infrastructure.

The World Bank (2002) voiced opinion on consequence of limited housing and affordability. Awumbila was optimistic about the potential of urbanisation in poverty alleviation and believes the participation of all stakeholders is crucial in addressing current urban challenges while a pro-poor approach was suggested by UN-Habitat (Awumbila, 2014). Some of the impetus of urban aggregation includes access to wide range of opportunities, prosperity- achieving potential, ambition, comfortability and meeting entrepreneurial goals (UN-Habitat, 2012). Although prosperity is relative, the body in its' submission identify the need for a more robust and inclusive agenda on urban centres, driven by sustainable objectives. In achieving sustainability in urban areas, there is a need to tackle poverty and inequalities (ibid). The United Nations (UN) posit a link between poverty, inequalities and economic growth, this view is supported by United Nations Children Fund and Organisation for Economic Co-operation and Development (UN-Habitat, 2012). Contrary to some of the negative positions associated with urban expansion, concentration of people in a certain area may be beneficial to the environment and positively impact on urban per capital infrastructural spending (Cohen, 2006).

Although urbanisation has been perceived in some quarters to have a negative socio-economic impact in respect of the environment, some researchers such as Awumbila consider urbanisation as a positive phenomenon especially when all urban stakeholders are engaged including the urban poor. The debate is further compounded when discussing the reasons why people move to urban areas and the reliability of urban population figures. While urban populations present a substantial source of valuable human capital, linking available manpower to limited jobs has proven a challenge to authorities and may also affect the type of houses built to accommodate the huge influx of migrants. Economic opportunities and the search for equality may compel migrants from emerging economies unsatisfied with living in slums or forcefully evicted, to explore new opportunities in other urban settings of the world, as evidenced by the increase in irregular maritime migration (McAuliffe & Mence, 2017). Further complexities arise in the designation of areas as rural and urban with boundary discrepancies observed throughout the African continent (UN-Habitat, 2012).

### **2.5.2 Globalisation**

The effect of globalisation was noticed in the mid 1940's, especially as related to economic liberalisation and worldwide inequality (Polanyi, 2001). Other researchers are of the opinion that unequal society contributes to increases in poverty and reduction in economic growth (Bruno et al., 1996). The affluent, on the contrary, appear to benefit from increase in income

and prosper from the inequality caused by globalisation (Drennan et al., 1996). This is due partly to two main factors:

- a) The market economy favours the rich as they are commonly at a vantage negotiating position.
- b) The affluent control the knowledge and production industry, difficult to access with low level of education and social status.

Scholte (2000), classified Globalisation into five major categories:

- a) 'internationalization' – the growth of exchange and interdependence between individual nation-states leading to a more global economy
- b) 'liberalization' – the removal of government-controlled restrictions on movements between countries to create a more 'open' global economy, such as trade barriers and capital controls
- c) 'universalization' – the increasing spread of the same types of ideas and goods into every community across the world, such as television or information technology
- d) 'Westernization' – the transfer of particularly US structures of modernity, such as capitalism, rationalism, and liberal values to other societies, leading to the destruction of existing local cultures and autonomy
- e) 'deterritorialisation' – the transformation of social relationships through the shrinking of geographical distance made possible by new technology, which reconfigures the 'local' such that relationships and transactions are less spatially constrained, and local happenings more easily connected to events taking place far away (Scholte, 2000).

Globalisation has often been described by researchers from different perspectives to include market economy, migration and politics of states (Ibrahim, 2013; Schirato, 2003). This variation in definition compounds what globalisation truly constitutes and adds to the array of terms associated with globalisation such as 'international community' and 'villagization of the world' (Ibrahim, 2013). Ibrahim (2013) refers to the use of the term 'one world' and simplifies globalisation as a function of 'space and time'. Scholte (2000) however, splits the use of the term globalisation into five main segments ranging from 'internationalisation to deterritorialization'. Hoogvelt (2000) in his analysis groups globalisation into three tiers: the bankable, un-bankable and people excluded from participating in the world economy. Hoogvelt



refers to this last set of people, as those not having access to technology or Internet and therefore unable to contribute or comprehend the complex nature of global economy (Hoogvelt, 2000). According to Ibrahim (2013) there are some researchers (Akindele; Ohuabunwa; Ohiorhenuan; Cerry), viewed it from a global standpoint of open market, with ease of trading and socio-economic interaction. While Banjo was sceptical in his view and looked at globalisation based on market capitalization and financial meltdown created consequently and MacEwan believes it is a western propaganda to influence market economy and introduce free enterprises across the globe (ibid).

Charlick (2001) comments on the impact of globalisation on the African continent, while Ibrahim (2013), linked the impact of globalisation to undue exercise of democratic rights and the lack of rule of law often witnessed in many African countries. The researcher also noticed its adverse effect on tradition, innovation and emigration. Other researchers who voice their views on the undesirable effect of globalisation include Tendon, 1998 who highlights its role in the cold war; Oyejide 1998 comments on the use of tools of international trade while Rodrik 1994, and Mule 2000, are concerned about the market economy and the way goods are sourced and produced (cited in Ibrahim, 2013). Mowlana agreed that it strangles local economy and makes it difficult for stakeholders in Africa to implement constructive entrepreneurial policies (Ibrahim, 2013). The role played by information technology in globalisation is immense Tendon considering the goal of globalisation is to conquer the world as indicated by Ohiorhenuan (ibid), while Mule, (2001) further emphasises that the negative effect of this trend is often felt more by the youth, women and in rural areas. Torres and Momsen, (2004) on their globalisation stance highlight its positive contribution to world tourism and the linkages created between local and corporate organisations (Murphy, 2000). Lewis and Kanji (2009) recognise the role globalisation could play in poverty alleviation and discuss globalism in relation to non-governmental organisations and Corporate Social Responsibility (CSR).

Globalisation plays a key role in Sub-Saharan Africa's natural resource management and investment. The African tourism market for example appears versatile and unique in comparison to European tourist attractions and globalisation may enthuse many tourists to visit or avoid the Africa continent. The latest reclassification of the tourism sector in Zambia was in 1966 from a social to economic category (Taylor & Banda-Thole, 2013), which illustrates the benefits of the new wave of tourist arriving in Zambia. This could have a positive impact on slum and slum tourism industry and may open-up the country to new streams of funding and

foreign investment. Some researchers believe reality experiences created through slum tourism can breed entrepreneurship spirit amongst slum inhabitants. While slum dwellers may experience varying degrees of voyeurism through slum tourism, and they are still largely invisible in many urban spaces with most benefits accrued to external participants. Interactions experienced however may create a permanent mutually beneficial avenue for slum dwellers and tourists to co-exist.

### **Positive and Negative Impacts of Globalisation on Africa**

Below, the perceived positive and negative impacts of globalisation on Africa as cited by Ibrahim (2013) have been listed:

#### **a). Perceived Positive Impacts**

- a) Globalization has eased international trade and commerce, facilitated foreign investment and the flow of capital while calling for greater accountability and responsiveness of leaders to their people.
- b) Globalization opens people's minds to other cultures and all their creativity and to the flow of ideas and values. It has also created a global village out of a wide and diverse world.
- c) Globalisation has made available information on how other countries are governed and the freedoms and rights their people enjoy, and it has also opened African countries to intense external scrutiny and exercised pressure for greater transparency, openness and accountability in Africa.

#### **b). Negative Impact**

- a) Globalisation does not facilitate the establishment of the economic conditions necessary for genuine democracy and good governance to take solid roots and thrive.
- b) Globalization has reinforced the economic marginalization of African economies and their dependence on a few primary goods for which demand, and prices are externally determined. This has, in turn accentuated poverty and economic inequality as well as the ability of the vast number of Africans to participate meaningfully in the social and political life of their countries.
- c) African countries are rapidly losing their cultural identity and therefore their ability to interact with other cultures on an equal and autonomous basis.

- d) The scientific and technological forces unleashed by globalization have facilitated the extinction of the indigenous development of technology and distorting patterns of production in Africa.
- e) Globalization on the whole impacts negatively on the development and consolidation of democratic governance. (Ibrahim, 2013).

Having examined the definition, characteristics and causes of slum, it is important to review strategies associated with slum eradication and other interventions that have been employed in an attempt to deal with the proliferation of slum settlements.

## **2.6 Strategies to mitigate against the problems of slum**

There have been many strategies adopted by policy makers worldwide in attempt to eradicate or eliminate slums in the past. Some of these practices are still being employed in many developing countries when issues of slum settlements arise. With the lingering problem of slums, “Benign Neglect; slum upgrading and aided self-help” were considered in different parts of the world to bring slum to a closure (Marx et al., 2013). Slum upgrading was identified by many organisations and researchers working in slums as a panacea to the problem of tenure in slum, the cost of implementation, poverty alleviation potential and protection against slum eviction was observed to play significant roles if slum upgrading was to be adopted. This notion was also credited by the World Bank (2002).

Governments and decision makers seem not to have learnt from the mistakes of the past, considering the current rise in urbanisation and the impact of globalisation especially in urban settings. Tibaijuka (2005) reports that numerous attempts to eradicate slums in developing countries have often not yielded the desired result, which is evident in many botched slum eradication projects such as Operation clean up in 2005 in Harare, Zimbabwe that saw 700,000 slum settlers evicted, lead to criticism around human rights violations and overcrowding in areas absorbing the displaced and deepening poverty. Table 7 below shows slum eradication strategies that have been adopted in various countries to manage the proliferation of slums, to varying degrees of success, as described by Arimah (2010).

SLUM ERADICATION STRATEGIES	
APPROACH	COUNTRIES
Benign Neglect	Most Developing Countries
Slum Upgrading	Most Developing Countries
Security of tenure and the enabling approach to slums and squatter settlements	Most Developing Countries

**Table 8:** Slum eradication strategies. Source: Arimah (2010).

**Some of the past policies adopted include:**

According to UN-Habitat (2003), during the early 70s, negligence was adopted as a policy in slum eradication, the guiding assumption was that “slums are illegal and unavoidable but temporary phenomenon”. Between 1970s and 80s, eviction of dwellers was introduced with the belief that “Economic development in urban areas will not eradicate slums and Growth of informal market and reappearance of slums in other area of the city”. The late 70s welcomed a shift to Self-help and in situ Upgrading with a resolve that “past approaches has failed, that there is a need for new policies to prioritise right to housing for the poor and processes of democratisation and decentralisation (Schübeler et al., 1996)”. The self-help strategies are based on addressing key primary issues which includes the “Provision of basic urban services; provision of secure tenure for slum dwellers and the implementation of innovative practices regarding access to land and innovative access to credit, adapted to the economic profile, needs and requirements of slums dwellers and communities,” (UN-Habitat, 2003).

The adoption of slum upgrading by many external stakeholders prior to this period engaged in slums was motivated by its low cost on implementation compared to other approaches and the direct impact on other infrastructural deficiencies in slums. These strategies are not without their challenges, such as how to deal with issues of problematic or non-yielding policy makers and acquisition of lands for slum settlers. Therefore, there seems a need for a more robust

system which will incorporate the requirements of all stakeholders. Relatively successful slum upgrading examples in the 1970's includes: 'Early evaluation reports of the three largest upgrading programmes – in Calcutta (US\$428 million), Jakarta (US\$354 million) and Manila (US\$280 million) – were glowing. For example, some 3 million people were assisted in Calcutta, and reported deaths from waterborne diseases fell by more than a half during the 1970s,' (Kessides, 1997); and in '1980 study estimated World Bank upgrading projects to cost US\$38 per household, compared with US\$1000 to US\$2000 for a core sites-and-services housing unit or US\$10,000 for a low-cost public dwelling ,' (Keare et al., 1982). The Mid 80s ride on the enabling policies with an assumption 'based on the success recorded in earlier slum upgrading projects; Recognition of the 'need to involve slum dwellers not only in the construction processes of slum improvement, but also in the decision-making and design processes that establish priorities for action and support for implementation'; 'To be efficient, decisions concerning the investment of resources in domestic economic, social, and physical development have to be taken at the lowest effective level'; and 'Enabling policy process requires the participation of many stakeholders and recognising that societies are diverse and complicated'.

The policy of resettling slum dwellers is an all-encompassing strategy, as it helps to maximise the use of urban space. Resettlement is often considered to be better than many of the other slum eradication approaches, as it involves participation of most stakeholders including the slum inhabitants and excludes the movement of people to places alien to them or with limited infrastructure. However, this does not mean that resettlement is high up in the scale of approaches to adopt when reviewing slum housing issues, as it may sometimes involve moving residents to a completely new settlement and resettlement does not often solve the challenges of slums. Finding the most appropriate intervention for particular slums requires judicious consideration of various factors, especially the non-housing needs of urban settlers such as the causal factors of poverty among the poor in major cities.

### **Towards developing a path for urban slum as a resource**

To construct a conceptual framework for an intervention that may secure benefits for the good of slum residents and the urban cities they inhabit, lessons learned from past strategies should be employed. Key messages emanating from a review of past strategies documented by UN-Habitat (2003) include the importance of understanding a slum based on its definition, type and causal story that can provide visibility that is required to determine a suitable approach to

development that harnesses the potential for growth among slum residence. This will enable practitioners to develop policies that address the basic needs of slum dwellers (e.g. shelter, sustenance, livelihoods) and encourage stakeholder participation for tailored responses (see Appendix E for a detailed list of key findings and messages). Suggesting that a shift to a bottom up approach that utilises the strengths of the community builds capacity and creates opportunity may prove more effective in driving urban planning and management policies. Emerging trends including social urbanism, slum tourism and urban farming, discussed in Chapter 3, have proven effective in addressing poverty and social injustice in some slum settlements.

## **2.7 Summary**

This chapter has unpacked the evolution, characteristics and contributors of slum settlements and the impacts on the socio-economic growth and prosperity of a city. Definitions of slums have developed over time to better illustrate the dynamism and complexities that exist in these spaces, however this has often not led to understanding that produces a consistently effective approach to mitigating against challenges faced by slum residents and urban cities. Of the factors contributing to slum development, the rapidity of urbanisation appears to significantly impact inequalities that spur the proliferation of slums. With the trend of urbanisation set to continue into the future there is a need to accept the existence of these settlements and seek understanding to develop tailored approaches, to suit the profile of each slum and its residents that foster integration.

The increase in research and interest on the topic of slum has led to an emergent visibility that reveals that informal settlements are major components of the urban construct and play a key role in the socio-economic identity of communities. The inequalities and injustices that these settlements endure suggests that the issues faced by urban settlements are significant and incongruent with their potential and require attention as recognized by the United Nations. The visibility of slums exposes the challenges these poor communities may face in search of growth and development. The next chapter explores current management practices, including external and internal autonomous interventions in slums and begins to explore the potential of tourism mechanism in poverty alleviation and capacity building as in slum communities and discusses the role of place branding in presenting slum neighbourhoods as tourist attractions.

### **3 INTERVENTIONS IN SLUMS**

#### **3.1 Introduction**

This chapter begins with an exploration of current slum engagement practices building on Chapter 2. Lessons learned from slum upgrading programmes led to the adoption of participatory slum upgrading, that have the potential to resolve the disconnect that may ensue when relationship between the host community and stakeholders are not reflected in the overall outcomes of processes. This directed the research to review the different external and internal interventions, including pro-poor tourism concept to address the challenges faced by slum inhabitants and strategies that may work well in Kalingalinga. Intervention in slum settlements has been the convention of many policy makers who see slums as informal communities that marginally contribute to the socio-economic status of urban living and a poor image for place marketing. In the second section, the report examines the concept of slum tourism as this thesis begins to unpack the suitability of the concept for Kalingalinga and how some communities are discovering the potential slum tourism hold in the branding of cities.

#### **3.2 Participatory Slum Improvement**

In Chapter 2, slum upgrading was identified as an intervention in slum eradication strategy, the results of which were inconsistent. Against this backdrop of slum upgrading, a return to land titling “land tenure and property rights”- instrumental in poverty alleviation was suggested by Hernando de Soto (Marx et al., 2013). The method although embraced by the World Bank, UN-Habitat and governments of many developing countries in the past, bred doubt amongst researchers over its effectiveness (ibid). Considering issues raised by land titling, UN-Habitat reversed their decision, although they do continue to monitor trends in some of the countries where slums are on the decrease, such as in Egypt and Brazil (ibid).

Current best practices now suggest the inclusion of slum dwellers in the restructuring of slum settlements, which was identified to contribute to the slum upgrading process (Adusei et al., 2018), a leap from past non-participatory intervention. The Participatory Slum Upgrading Programme (PSUP) approach was conceived by UN-Habitat to expose the challenges of slums to a global audience, integrate and task urban stakeholders to brainstorm on numerous policies to tackle poverty alleviation, bridge the infrastructural gap between urban and slum settlements and equip urban poor residents with the necessary tools to invest in themselves (UN-Habitat, 2016a). This process requires the active engagement of slum settlers from the onset, in rebuilding of the informal settlement they are living in, which is supposed to instil in the

inhabitants, a sense of ownership and the impetus required to contribute to the change they seek in the neighbourhood (Ruel et al., 1999). The case of Lusaka slum settlements upgrading has also been adapted to include participatory practices (Mulenga, 2003). However, Marx, Stoker and Suri (2013) cautioned that the non-ending expansion of slums could lead to a lack of continuous maintenance of slum environment and upgrading of infrastructure.

To support upgrading processes several organisations including the UNHCR, have engaged in different interventions in slums (UN-Habitat, 2016a). Many of which appear to be struggling with pragmatic approaches on how to best handle the challenges posed by slum and lesson learnt from past experiences, with missed opportunities also contributing to mistrust among many slum stakeholders. This lack of trust often voiced by slum inhabitants highlights the collaborative process needed to achieve the desired change in slum policy and processes. The next section discusses some of the interventions to support the development of a participatory intervention in Kalingalinga.

This changes requires an understanding of tourism development as pro-poor and consideration of the network of multiple stakeholders concerned in the realisation of a broader policy acceptable by all actors (Lilford et al., 2017). Tourism development in Kalingalinga, the focus of this research, for example deserves a guideline that details the heterogeneity of the dwellers, their unique characteristics, culture and history which contributes to their behaviour and way of life. Culture in tourism development is known to shape perceptions and foster relationship building (Jones, Parker and ten Bos, 2005). This diversity also embodies the unique skillset they possess and how such capacities could be harnessed as an attraction for consumption that is valued by visitors. Identifying this uniqueness aids the development of a tourism plan that not only looks inward but also considers the stage of tourism development and the role of actors engaged in shaping the narrative of the space that is informal and constantly involving.

Tourism development in Zambia is still at the scaling up/emerging level where the sector and institutions are continuously improving, attractions are mainly centred on gazing of nature and wildlife (World Bank, 2010). Visitors to slums are at the allocentric level (Litvin, 2006), where travellers are still exploring and are inquisitive about slum spaces and their uniqueness, with interaction still at the observation and informative stage (Butler, 2006a). Tourism to slums has broadly been defined as poverty attraction (Ausland, 2010) often ignoring the talent, spatial attraction, genuineness and exclusivity of the people and neighbourhood spaces such as



Kalingalinga represent. The stakeholders that interact with informal settlements are varied, visitors may be seeking experiential encounters or searching for spaces to shape (Cohen, 1979) such as Kalingalinga slum settlement with stakeholder engagement from the policy makers, institutions (WHO, UN-Habitat, LCC, MOT, CURP, ZHPPF, PPHPZ) and international visitors (Habasonda, 2012; Mulenga, 2003).

The tourism sector is competitive and requires reasonable investment and will from policy makers in working towards pro-poor growth (Rizal, 2021). Achieving a vibrant tourism sector requires adequate infrastructure such as roads, accommodation and sanitation which are the general norms of tourism embrace by government, this is an anathema to the natural structure and characteristics of slum settlements and the attractions visitors seek. This explains the invisibility of slum settlements and why they are usually branded as a place of shame (Berger and Buvinic, 1989). Slum settlements are centrally located, informal in nature with interest from external actors with the capacity to exploit and power to disrupt, which often creates a distraction fuelling slum proliferation. The construction of a sustainable environment and the endeavour to institute a formal tourism plan in an informal environment becomes a challenge. Irrespective of the tourism development plan implemented, alignment of goals and compromise from all parties is essential as is a collective resolve on what can be accomplished through mutual respect. With a common vision enshrined in empowerment and improvement of the living standard of the people, the dynamism of stakeholders and the willingness of the government as an arbiter a transition seems inevitable.

### **3.3 External and Internal Interventions in Slums**

Interventions in this paper fall into two categories: external - those being initiated outside of the slum - and internal – those initiated within the slum. Actors engaged in either process will vary but ideally include a wide-range of stakeholders and slum-dwellers, each involved to varying degrees.

#### **3.3.1 External interventions**

External interventions are defined by the external actor. Consumer support is summarized under the heading ‘Pro-Poor Tourism’ and the support that comes from non-governmental and community organization.

### ***Pro-Poor Tourism (PPT)***

Ashley, Boyd and Goodwin (2000), identify that tourism plays a significant role in encouraging individuals to actively partake in economic activities in their community. They however acknowledged the disconnect between current objectives of tourism and the potential it has in effecting change on global scale, such as in poverty eradication. Ashley, Boyd and Goodwin (2000) suggested that this could be because of failures to engage the poor in the development of tourism agendas which are usually driven by economic gains enjoyed by the wealthy minority. This feeds the perception that tourism is not for the poor, the notion of tourism as a luxury good dictates and drives the tourism market limiting the potential for sustainable growth and development (ibid). Challenging the status quo on tourism, pitches the poor against the rich and this becomes obvious when addressing the pros and cons of tourism values Ashley, Boyd and Goodwin (2000).

The tourism sector in developing nations is primarily driven by the private sector and is a key contributor to economic growth and foreign revenue generation (Ashley, Boyd and Goodwin, 2000). There is a culture of tourism leakages and employment created is not reflective of the immediate needs of the poor, the relationships required for investment to impact on micro-economy is rarely realised (ibid). To realise its true potential, the researchers call for better relationships among stakeholders to eschew conflict and instability. Pro-Poor Tourism (PPT) seeks to address this imbalance by generating ‘net benefit’ for the poor through engaging in practices that impact positively on the poor giving rise to genuine sustainable tourism development (Torres and Momsen, 2004; Nisbett, 2017).

Ashley, Boyd and Goodwin (2000), proposed a policy rethink in tourism and suggested the following conclusions considering the potential impact tourism may have on poor people:

- a) Tourism development has not, to date, incorporated poverty elimination objectives. It remains driven by economic, environmental and/or cultural perspectives at national and international levels.
- b) Given the massive impact that tourism has on many of the world’s poor, how and how far pro-poor tourism can be promoted needs to become a central issue.
- c) The poverty impacts of tourism include a wide range of impacts on livelihoods of the poor – not just jobs or incomes – with differential costs and benefits.

- d) Participation by the poor in tourism, and the benefits they gain, depends on a range of critical factors including the type of tourism, planning regulations, land tenure, market context, and access to capital and training. Many of these can be influenced by changes in policy or external support.
- e) There is plenty of unexploited scope for adapting tourism interventions to enhance livelihood benefits to the poor from tourism.
- f) PPT strategies must be commercially realistic. Although the private sector cannot be expected to prioritise poverty objectives, it must be included in the process of developing PPT.'

Based on the analysis above the authors suggested some strategies that may be beneficial to implementing PPT approach:

Firstly, they suggested putting poverty issues on the tourism agenda. A first step was identified in recognising that enhancing poverty impacts of tourism is different from commercial, environmental, or ethical concerns. PPT can be incorporated as an additional objective, but this requires pro-active and strategic intervention. There may well be trade-offs to make – for example between attracting all-inclusive operators and maximising informal sector opportunities, or between faster growth through outside investment, and slower growth building on local capacity. However, at least the trade-offs should be addressed.

To enhance economic opportunities and a wide range of impacts on the evidence above, two approaches were suggested by Ashley, Boyd and Goodwin (2000), in particular the need to combine:

- i. Expanding poor people's economic participation by addressing the barriers, they face, and maximising a wide range of employment, self-employment and informal sector opportunities
- ii. Incorporating wider concerns of the poor into decision- making. Reducing competition for natural resources, minimising trade-offs with other livelihood activities, using tourism to create physical infrastructure that benefits the poor and addressing cultural disruption will often be particularly important.

The authors also suggested a multi-level approach - with Pro-poor interventions taken at three different levels:

- i. Destination level – this is where pro-active practical partnerships can be developed between operators, residents, NGOs, and local authorities, to maximise benefits.
- ii. National policy level – policy reform may be needed on a range of tourism issues (planning, licensing, training) and non-tourism issues (land tenure, business incentives, infrastructure, land-use planning).
- iii. International level – to encourage responsible consumer and business behaviour, and to enhance commercial codes of conduct.

The role of partnerships, with stakeholders and actors, including business was also considered important: National and local governments, private enterprises, industry associations, NGOs, community organisations, consumers, and donors were all identified as having a role to play. Within this environment, it was considered particularly important to engage businesses, and to ensure that initiatives are commercially realistic and integrated into mainstream operations.

The same research suggested incorporating PPT approaches into mainstream tourism, rather than pursuing niche markets (such as eco-tourism or community tourism). It is just as important that mass tourism is developed in ways that reduce barriers to activities by the poor and take a range of livelihood concerns into account in the planning process. Furthermore, PPT strategies are dependent on the health of the overall industry, so need to be complemented by more conventional support, such as in infrastructure development and marketing. While avoiding marginalising PPT, it is also important to assess which tourism segments are particularly relevant to the poor.

It is impossible to prescribe exactly how each tourism enterprise should develop in ways that best fit with livelihoods. The most important principle is therefore to enhance participation by the poor in decision-making. Systems are needed that allow local livelihood priorities to influence tourism development (Ashley et al., 2000).

PPT seems to be included in the structural design of PSUP by UN-Habitat driven by the resolve to integrate urban stakeholders into answering some of slum issues including closing the

capacity gap in urban settlements to generate sustainable benefit for the urban poor. Goodwin, (2007) praised the stimulus and confidence PPT instils in communities and acknowledge dearth of literature on PPT, while Blake (2008) emphasis that more research is needed to justify the impact of PPT as a poverty alleviating approach. Goodwin (2007), and Butler, Curran and O’Gorman (2013), are concerned about terms used interchangeably in tourism research such as poverty and poor; PPT, Community Based Tourism (CBT) and Community Benefit Tourism Initiatives (CBTI). CBT is “an approach that engages the host community in the planning and development of tourism” (Hall, cited in Butler, Curran and O’ Gorman, 2013), while CBTI is defined as “an approach that delivers net benefits to communities irrespective of size, wealth or level of involvement” (Simpson, cited in Butler, Curran and O’ Gorman, 2013). Although Community-based tourism (CBT) projects have not been widely successful according to Marx (2011) it is one of the approaches considered as capable of tackling the negative impact of mass tourism on host environments (ibid). Criticism of CBT impact as noticed by Marx (2011) is in assessment of its effects on vulnerable and disadvantaged communities. Agenda 21 a global action of plan by UNWTO, World Travel and Tourism Council and Earth council, was also put in place in 1996 for the tourism and travel industry to ease the impact of human on environment as stated by (ibid). Due to the gaps identified in the CBT system, Pro-Poor Tourism (PPT) a more holistic, market-led approach was piloted to bring about poverty relief and encouraging vertical and horizontal linkages with other sectors. Based on PPT’s relative success, many non-governmental organisations including international corporations are now considering alternative methods of tourism engagement (Marx, 2011). PPT should not be perceived as a unique product or sector but rather as a poverty alleviation strategy (ibid). Although, PPT and CBT approaches are distinctive, the latter can still be applied to tourism development based on location and available tourism infrastructure, while each has its benefits, what may influence choice of strategy is the goal being sought in adoption.

The World Bank and the World Trade Organization are the main financiers of PPT projects as observed by (Richard Butler et al., 2013; Scheyvens, 2009). These organisations often take a neoliberalist approach relying on free-market capitalization, which worsens community relationships, sowing seeds of resentment as suggested by (Dann, 2002). Under this approach the commodification, rationalisation and taking ownership of public spaces through globalisation, business as usual and technology, irrespective of voices of host community appears detrimental to relationships. The use of PPT as a slum intervention is polarising, Chok, Macbeth and Warren (2007) noticed that some researchers found the term PPT divisive as it

side-lines some stakeholders, Butler, Curran and O' Gorman (2013) realised the World Tourism Organization often used the expression Sustainable Tourism Eliminating Poverty (ST-EP). Marx, Stoker and Suri (2013) suggested that in planning development initiatives, developing nations should take the lead from advanced nations, however, Butler, Curran and O' Gorman (2013) comment that research on the application of PPT in the developed world is almost non-existent. Governments in developing countries often fail to tap into economic impact of non-commercial activities (Ashley, Boyd and Gorman 2000) this hints at the importance of selecting the most appropriate approach to suit the conditions and capacity of the target population.

One of the arguments for PPT as a sustainable solution is in its localization and uniqueness as highlighted by Ashley, Boyd and Gorman (2000), this they believe will compel tourists to travel, which assists in the creation of a diverse economy, beneficial to the host community. Ashley, Boyd and Gorman (2000) reveal the lapses in data capturing in tourism, they note that domestic tourism figures and foreign currency spent in informal settings often goes unrecorded. Domestic or regional tourists are reported to buy more from local vendors than western tourists, this group includes backpackers (ibid). The belief that investment in tourism benefits the poor is debatable, and should not only be looked through the employment created but also the type of employment and non-monetary gains such as skills and the opportunities forgone by the poor, more can be achieved through adopting a pro-poor approach against a commercial approach (ibid). The true value of tourism in development will only be realized when the urban poor begin to participate and economically contribute to the tourism industry.

To comprehend the reluctance of the poor to participate in tourism, dynamics such as “human, social and financial capital of the poor, organizational strength and gender, land ownership and tenure, regulation and bureaucracy, access to the tourist market, linkages between the formal sector and local suppliers” ought to be considered (Ashley et al., 2000). Tourism is new territory to the urban poor who lack the financial capacity to compete, working as a unit or forming partnerships is crucial to the poor when participating in tourism, this approach however sometimes works against the poor. Compared to men, women are mostly employed in the tourism service industry (ibid), although the jobs are poorly paid and non-skilled jobs (UNWTO, 2011), activities such as hawking are also common among females as recognised by Shah and Gupta (2000). Ashley, Boyd and Gorman (2000), comment of revenues leaving host countries (average of 55 per cent), they however identified that tourism thrives in areas

where there are adequate products to market and infrastructure and encourage African countries to exploit uniqueness of their tourism products.

Tenure over ownership of land and natural resources can empower the poor to negotiate for a share in the tourism market; this must include rights of exclusion which allows the community to control or monopolize the market adding creativity and personalization to services, for example, Campfire programme Mahenye, Zimbabwe (Ashley, Boyd and Gorman 2000). Tourism should also endeavour to promote new business and innovativeness (Hendaway & Balsam, 2016) while governments could intervene to promote the interests of local communities in regard to the lack of negotiating rights in dealing with private investors. As illustrated by South Africa's Strategic Development Initiative which ensures the community's needs are addressed as part of their criterion for selecting bids for tourism investment (Koch et al., 1998). Some regulations can also serve as a barrier to tourism as in the case of Near Sa Pa, Vietnam and Upper Mustang, Nepal, where regulation protects indigenous dwellers from social inclusion but also drives away tourism benefits as reported by Shah and Gupta (2000). Ashley, Boyd and Gorman (2000) acknowledged the need for more papers on PPT and understands that there is little assessment of practical experience in strategies to make tourism more pro-poor.

The direct impact of pro-poor tourism is not confined to job creation but is linked to many of the global vices that present challenges to tourism in the modern world (R. Torres & Momsen, 2004). While the PPT approach has substantial merits and unique features in combating poverty, there are numerous underlying challenges (ibid). The Department for International Development cross-examine likely negative outcomes of PPT on local agriculture such as its use of agricultural water and land. A factor recognised by Shah and Gupta, (2000) and Torres and Momsen (2004), contributing towards unsustainable farming practices specific to the tourism industry. To reduce some of these effects Goodwin (2000) and Ashley, Boyd and Goodwin (2000) suggested a change in PPT strategies. Gartner (2010) cited the reason for the curiosity and demand for tourism models based on the PPT approach in nature tourism, ecotourism and slum tourism as being partly due to upsurge in urbanisation. Vellas (2011) in his remarks acknowledged the indirect economic impact of slum tourism especially in the creation of small and medium enterprise (SMEs). The failures of the PPT approach pointed out in some articles according to Koens (2012) and Frenzel et al., (2015) are due to the absence of collaboration among SMEs in slums and improvement of products. Harrison (2008) observed lack of academic visibility in PPT and the impact international tourism could have on poverty

alleviation. Harrison, (2008) disputes the need for short term solutions to tourism challenges, this line of thinking was seconded by Mekawy (2012) who concluded that slum tourism can both be enjoyable and sustainable.

Economic growth in Africa though significant, is unlikely to shift discussion on the need for improvements in quality of living, to address challenges posed by slum proliferation and the associated inequalities. There is a need for strategy that is pro-poor which addresses both economic growth and poverty alleviation, linked to achieving greater benefits for the poor both in the urban and rural areas and culminating in broader infrastructural development and economic prosperity, tourism has been known to be effective in this regard (Gerosa, 2003). Slum tourism as a developmental tool has a wide reach with inelastic demand and products that are difficult to replicate and are primarily consumed at the host destination. The ease of entry for entrepreneurs makes tourism attractive, however, it needs to be supported by practices and policies that improve coordination of activities and support sustainable growth. Pro-poor tourism is critical as it focus specifically on countries of the South and places the poor at the centre of tourism debate (Ashley et al., 2001). In Africa, according to Gerosa (2003), PPT played a positive role in job creation with its multiplier effect. Of note is the gender balance redress initiated as more women were employed in the tourism sector, due to the natural and cultural resources available in many emerging economies.

### ***Non-Governmental Organisations (NGOs) and Community-Based Organisations (CBOs)***

NGOs are high profile actors that are independent from the state and state authority, operating in international development, both as providers of services and as campaigning policy advocates for vulnerable people and communities (Lewis and Kanji, 2009; UN-Habitat, 2003; Werker and Ahmed, 2008). NGOs are also reported by the World Bank to mainly be engaged in building capacity, poverty alleviation and serve as a voice for the poor in developing countries. The definitions of NGOs by various authorities and researchers appear cumbersome or vague in the scope of what activities NGOs are registered to carry out and may offer explanation as to why despite years of efforts many developing nations continue to endure the conditions these organisations seek to mitigate.

NGOs could be set up by the government, private businesses or individual and source fund externally or internally, which makes classification of NGO's problematic as highlighted by Lewis and Kanji (2009). There are nearly one million NGO's worldwide, among which are



35,000 well-known ones as reported by the United Nations with the responsibility of providing fundamental services which include – ‘emergency response, democracy building, conflict resolution, human rights work, cultural preservation, environmental activism, policy analysis, research and information provision (ibid).’

This may make monitoring of NGOs difficult and collaboration challenging. A case study of activities of NGOs in Kenya carried out by Brass (2012) shows a rise in the number of NGOs from 125 in 1974 to 4200 in 2006 figures across the African continent are similar and makes one wonder whether this is an indication of deepened dependence that has reaped few benefits and a case for new interventions that ensure skills transfer for communities to attain self-reliance that is key to social mobility and continuous development. The rise in NGOs could perhaps be due to the services they provide that would otherwise be unavailable, but in some cases the motivation for establishing an NGO may be personal and some owners could be drawn by the amount of capital NGOs can generate – ‘In 2004 NGOs globally processed almost \$US23 billion,’ (Lewis and Kanji, 2009). The acquiring of this capital is often linked to the images of poverty seen by donors on media, promotional items and print. Werker and Ahmed (2008) affirmed a gradual increase in the number of NGOs being established around the world, run by dedicated staff and volunteers. How the “NGO Migration” translates to tangible benefits and impacts positively on the life of slum dwellers is another issue being reviewed by many researchers, as noted by (Werker & Ahmed, 2008).

There is a growing demand for financial transparency, observations by Lewis and Kanji (2009) indicate that Corporate Social Responsibility (CSR) is now being used by NGOs to network establishments and raise funds. Lewis and Kanji, (2009) note different schools of thought on the fundamentality of NGOs: Clarke argues that NGOs forge community cohesion and transformation; Temple links NGOs to age-old colonial tactics; DeMars frowns at NGO proliferation. The mission and vision of a considerable numbers of NGO’s are changing with large sums of capital at their disposal NGOs are now more innovative and venturing into different endeavours such as advocacy and global politics (Brass, 2012). The fact that NGOs have been seen to change over the years may be encouraging as it may indicate their ability to be more effective as agents of change. Brass (2012) reports that most of the funds are sourced from international bodies and projects are implement as deemed fit by the charity organization and interests of donors. He however acknowledged limited research carried out on NGOs working in developing countries.

The paucity of information sharing, and the uninspiring impact of NGOs is furthering distrust between host countries and the donors (Lewis and Kanji, 2009). Suggestions have been made to introduce a voucher system to track donations to recipients (ibid) to bolster accountability and effectiveness. The spreading of democratic values and employee perquisites by NGOs are matters of contention amongst commentators, questioning non-governmental organisations true values and motivations as narrated by Werker and Ahmed, (2008). To bridge the gap between NGO's and slum inhabitants, Community-Based Organisations (CBOs) are now being encouraged to actively participate in slum activities. This group of community activists, sometimes referred to as grassroots organisations, are mainly not-for-profit organisations and very diverse.

CBOs can be classified into two major groups:

- a) local development associations, such as village councils or neighbourhood associations, which represent an entire community, and interest associations, such as women's clubs, which represent particular groups within a community.
- b) borrowers' groups, pre-cooperatives and cooperatives, which may make profit, yet can be distinguished from private businesses due to their community development goals.' (UN-Habitat, 2003).

Some NGOs are involved in providing support for CBOs, although there are challenges between the two groups in competing for local and global funds. Projects NGOs and CBOs have collaborated on include:

- a) "Encouraging organizational pluralism between citizens and the state
- b) supporting micro-enterprise development and institution strengthening with implications for equality
- c) promoting political rights and civil liberties and providing legal aid (especially to women's CBOs)
- d) promoting bottom-up democratization
- e) influencing other players in the independent sector" (UN-Habitat, 2003)
- f) broadening the ownership of capital through encouraging micro-enterprise development (Fisher, 1998).

Multilateral organisations in recent times, have adopted various interventions within slums and many agree, based on actions, that security of tenure is critical in slum settlements and in

sustaining rural-urban migration. They also recognise that practices such as eviction or demolition of slum settlements are not sustainable and do not create community inclusion. The security of tenure in slums and provision of durable housing at an affordable price are some of the challenges facing slum settlement as identified in the characteristics of slums. The provision of basic needs requires the coming together of various organisations to create the enabling environment for interventions to organically take shape, such as collaboration with CBOs on designing innovative schemes to tackle financing and loans disbursement in slum settlements in the event of secure tenure of housing as witnessed in slums with renewable lease of over 30 years. Strategies suggested for the alleviation of the housing crisis include improved management and upgrading the existing housing stock; preventive policies based on the provision of new sites for low-cost housing development and targeted interventions on poor communities (UN-Habitat, 2003).

This need seems to have prompted many bilateral organisations to initiate research on housing and financing structure in slums, these includes:

- a) 'The World Bank and UN- Habitat emphasize the need for targeted and transparent subsidies.
- b) The United Nations, financing shelter and human settlements requires the development of new housing finance instruments to address the financial needs of people with limited or no access to credit. This is performed through such approaches as community mortgage programmes that are accessible to people living in poverty.
- c) Bilateral cooperation agencies, particularly the Swedish SIDA, the Canadian CIDA and USAID, have been active in setting up housing finance systems. The USAID approach has been based upon mortgage finance with the Urban and Environmental (UE) Credit Program, their major housing and infrastructure finance mechanism, which functions on a loan basis.
- d) SIDA has developed a programme based on locally managed funds for loans adapted to slum dwellers' needs, coupled with a credit scheme for the promotion of micro-enterprises,' (UN-Habitat, 2003).

### **3.3.2 Internal-Autonomous Interventions**

Responding to the need for research into interventions that take into account the slum dwellers' own autonomy, studies have identified a range of interventions that the inhabitants of slum can

take ownership of these are identified as ‘internal-autonomous. These include those activities which allow self-reliance and independent wealth creation - Urban Farming and Entrepreneurship.

### ***Urban Farming***

In considering rapid urbanisation in cities and the associated rise in demand for food with immigration, which often raises concerns over food production and distribution. Ackerman et al., (2014) in their report suggest urban farming as a possible response to food insecurity in urban areas. Vagneron (2009) described urban farming as agricultural practice carried out in urban zones and highlighted some of the challenge that could emanate from the practice of urban farming. Graefe, Schlecht and Buerkert (2008) define urban agriculture as a “horticultural, agricultural, animal husbandry and farming activities carried out on a small plot of land in and around urban centres”. Whittinghill and Rowe (2012) identify the readiness of urban farming to incorporate the advancements made in green roof technology and further echo some of the advantages of urban farming including its economic importance (ibid). Gallaher et al., (2013) in their research focus on a different form of urban farming often referred to as “vertical or sack farming”, the team investigate perceptions of slum dwellers on the farming system and role of diverse stakeholders in its sustainability.

The impact of urban agriculture on a city’s food security, environment and socio-cultural perceptions are acknowledged globally (Ruel et al., 1999; Vagneron, 2009) this view was also shared by Whittinghill and Rowe (2012). Ackerman et al., (2014) posit the need for sustainable food systems in urban areas and highlight the contribution of urban agriculture to the economy, community, environment and its impact on employment and household revenue generation, and influence on social interaction. Adedayo and Tunde (2013) in their report cited the crucial role and dynamics of gender on urban farming debate, Van Averbek, (2007) raised the issue of control of household budget as a practice mostly being exercised by men, while Gallaher et al., (2013) consider the nexus between city gardening, food security and social capital among urban poor including possible environmental challenges that may arise.

The practice of urban farming in slums, although bold in the fight against food shortages and unemployment is met by a challenge in slums, the scarcity of space. More so, the power dynamics of who controls space and time in slums is often in the hands of slum landlords and gangs. The acceptance of the culture of urban farming, its produce and willingness of most

slum occupant to engage in slum agriculture is also an issue that requires careful reflection, as most available lands in slums are usually contaminated and sack farming in slums may not be generally acceptable. However, slum inhabitant may have the capacity to learn new agricultural skills and adapt modern technological advancements to solve local issues. This step might require collaboration between various stakeholders and slum occupants, an idea promoted by many researchers, deemed necessary to abate the global challenge of food insecurity in urban areas and accommodate the current trend of urbanisation.

### ***Entrepreneurship***

The informal workers are engaged in economic activity responsible for the creation of a disruption within the local economy which ignites the atmosphere for entrepreneurial ideation, engagement and commercialisation. This view on the role of the entrepreneur as an economic powerhouse was supported by Schumpeter's theory on the role, they play in stimulating economic activities and creating unique opportunities (Ho, Wong and Autio, 2005). This infers a direct proportional linking of entrepreneurs in a community to economic growth. This is also visible in the "refugee or shopkeeper effect" where lack of employment leads some individuals to pursue self-employment awakening entrepreneurial endeavours. Schumpeter's theory has been criticised as being more applicable to developed countries with developing countries assumed to have fewer entrepreneurs. It has also been found to fall short in not acknowledging the risk involved in entrepreneurship. However, many emerging economies are hotspots for innovations and technology perhaps as a result of factors including technological advancement and the search for local solutions giving them a unique advantage.

Schumpeter's theory gave rise to other innovation-entrepreneurship economic models such as the Endogenous growth model which places importance on knowledge in the search for economic development as proposed by Romer in 1990 (ibid). Researchers such as Drucker also suggest the need for innovation demonstrated by product or service discovery and commercialisation, and marketing as a tool adopted by entrepreneurs when reviewing the viability of market expansion (Bambang et al., 2021). The concept and practicality of an innovative environment within slum environment may mirror the "refugee effect" but it also requires the collective effort of civil society as a partner in the co-construct and production of a slum environment conducive for urban entrepreneurialism (McFarlane, 2012).

The informal sector in many emerging nations is an important contributor to the economy of urban areas and plays a vital role in its growth and sustainability. The sectors contribution is evident in their substantial impact on the Gross Domestic Product (GDP) of many states – when measuring the intrinsic value of the economic activities of a country. The informal sector is defined as ‘the generally small-scale industries and commercial activities that are not registered enterprises but provide large amounts of products and services that people use each day’ (UN-Habitat, 2003).

Characteristics of the informal sector include:

- Small-scale units, comprising, firstly, ‘informal, own- account enterprises – that is, those unincorporated enterprises that are run without regular employees (but perhaps with unpaid family workers or occasional hired labour)’; and, secondly, enterprises of informal employers who employ one or more persons on a continuous basis.
- Few barriers to entry: initial capital and skill requirements are low.
- Informal skills acquisition: most entrepreneurs learn through informal apprenticeships in the sector, while a few have received vocational training.
- Informal relationships with suppliers, clients and the state: few have licences or formal contracts, hours of operation are flexible, and contacts are irregular. They therefore tend to be ‘invisible’, unregulated and uncouned by official statistics, particularly by economic censuses. Thus, the entrepreneur avoids taxes, licence fees and requirements to conform to standards. Labour tends to be unprotected. Labour relations – where they exist – are based primarily on casual employment, kinship or personal and social relations, rather than on contractual arrangements with formal guarantees.
- Combinations of different activities can exist in a single unit: these can exist simultaneously or by frequent change in activities, so it can be difficult to classify the business according to the standard industrial classification. Products may be made and sold in the same place and other producers’ products may also be sold.

- Predominance of an undercapitalized or labour- intensive process of production: the limited nature of the technology being used may hamper the ability of business to produce continuously and may limit the operator's ability to plan for investment and improved operation. (Berger & Buvinic, 1989).

In Asia, Latin America and Africa the scale of the informal sector is noticeable in the high rate of employment and economic stimulus associated with the sector. To many urban settlers, the sector provides the capital necessary to carry out many of their daily living activities and almost all new jobs in the urban sector will be launched by micro, small and medium enterprises (MSME's) (UN-Habitat, 2003). The informal sector in sub-Saharan Africa accounts for 42.5 per cent GDP and 78 per cent employment (non-agricultural) (ibid) The relatively low contribution to GDP when compared to the share of the employment market is an indicator of the extent of inequality that exists in the region. Although, men and women are gainfully employed in the informal sector, there is a higher level of women participation noticeable in the sector. This may be due to the self-employed nature of MSME's, which afford flexibilities and the levels of illiteracy and academic achievement (Berger & Buvinic, 1989; Levin et al., 1999; Ruel et al., 1999). Sabry (2010) classifies informal settlements based on poverty, illiteracy and lack of basic amenities which may explain why the informal sector, despite its apparent pitfalls, persists amongst slum dwellers who may lack choice due to the circumstances with which they are faced. Riley et al., (2007) reflected on some of these disadvantaged conditions, and comment on various forms of employment including entrepreneurial actions slum dwellers are engaged in, debunking poverty as a constant factor among residence in many slums. According to Pender and Sharpley (2005), tourism seems to play a significant role in poverty alleviation and entrepreneurship is a key factors to consider when discussing tourism advancement due to its employment potential. Slum settlements are often the incubating centres for many upcoming entrepreneurs (Majale, 2008) which he noted are crucial for urban growth and Lilford et al., (2017) reports on the correlation between slums and entrepreneurship, views supported by Nisbett, (2017) in their review of slums in India. Agarwal et al., (2009) by contrast gave account of potential initiatives and capacity building activities key to embedding entrepreneurial institution in the urban space, as an issue commonly ignored in city planning (Zoomers et al., 2017).

While entrepreneurship may present hope and engagement for some, the lack of opportunities and disadvantaged conditions in slums contributes to various negative factors as observed by

Nisbett (2017). Msindo, Gusta and Choguya (2013) cited prostitution as one consequence of inequalities. Marx, Stoker and Suri (2013) observed that enterprises in slums are often controlled by various stakeholders including landlords and gangs, also cited negative view of some researchers on entrepreneurship. Majale (2008) in further analysis cited the effect of inadequate infrastructure in slums on entrepreneurship and gave account of the positive potential of urban stakeholder's partnership. Although there are some indicators linking slums and entrepreneurial potentials, more research is needed by scholars to understand the complex challenges of slums and the critical role it could play in urban growth dynamics. The lack of research may also limit the scope of engagement or support needed for private sector participation in slum business development more so, in identifying business gaps between slum dwellers, potential investors and other stakeholders. Research and understanding are crucial to checkmate slums invisibility to the outside world and may change perspectives of slum tour companies in the restrictive communication practices that often occur between slum tourist and dwellers.

Rural-urban migration as observed by some researchers plays a key role in slum population, conceivably generations of slum dwellers may have been opportune to gain a formal education as slums evolve, perhaps there may be a need to measure level of education and skills of slum inhabitants' old and young. The documentation of expertise may be required to authenticate the capacity and support needs of slum resident including validating resident business acumen to engage entrepreneurship activities, a desirable start for any stakeholder's interventions. Rural-Urban migrants seem to benefit from movement to the city and their visibility in urban area may not be contributing to urban poverty as earlier thought by some researchers and stakeholders (Awumbila, 2014; Tacoli, 1998). Dharavi slum in India is a vivid example of such established entrepreneurial slum attracting huge visitors and generating over US\$600 million yearly, while employing over 75 per cent of Dharavi residents (Dyson, 2012).

### **3.4 Other Potential Interventions**

At the intersection between those interventions of external actors, and those which result in high levels of autonomy and independence, are those involving technologies – in particular the use of Green Roof and Ubiquitous Technologies, although not widely adopted in slum



settlements, are observed by some researchers as an area of opportunity and future interventions that address the shortages of food and water, and data gathering capacity in slums.

### **3.4.1 Green Roof Technology (GRT)**

The planting of vegetables, flowers, shrubs, and herbs on roofs is not a new approach (Vijayaraghavan, 2016), and it is multi-purpose; used as heat-proofing in rural and modern homes and valuable in urban communities especially with regards to food security (Whittinghill & Rowe, 2012). The slum upgrading practices introduced by UN-Habitat in many developing countries including Zambia seem to focus on renovation or building of new housing structures with less consideration on incorporating sustainability mechanisms into the new or restored structure, especially practices that cater for food production and ones that make provision for water supply. A global trend for the adoption of Green Roof Technology (GRT) in many developed countries, such as Japan and Canada, involving the adapting of rooftops to cater for the growth of plants, including aesthetic purposes was identified by Whittinghill and Rowe (2012).

GRT increased relevance has led to change in policies in some countries as in the case of Tokyo, Japan, requiring all new buildings to be green roof compliant. GRT is usually categorised into three general groups: extensive, intensive and semi-intensive (Vijayaraghavan, 2016) with extensive green roofing identified as mostly suitable for urban settings. Vijayaraghavan (2016) states that this is due to its thin soil/substrate layer, cost effectiveness and light weight. Methods used in GRT have been found by many researchers to be very efficient and beneficial in several ways including in noise reduction, storm water attenuation, improved air quality by lowering the accumulation of CO<sub>2</sub> concentration and in water quality enhancement. As land and green spaces shrink within the urban sector, including plots being cleared to make space for temporary houses as in the case of slums, one of the most essential merits of GRT is in its reintroduction of biodiversity to the urban area (ibid).

Green roof design is carefully engineered and technologically advanced compared to traditional roofing methods and bespoke for urban areas (Vijayaraghavan, 2016). The layers that make up green roof includes roof deck, waterproofing membrane, insulation layer, root barrier, protection layer, drainage element, filter fabric, growth substrate and vegetation as noted by (Vijayaraghavan, 2016), although, this research is not designed to explore green roof

technology in detail, the choice of the right substrate and plant to grow is crucial (ibid), if GRT is to be integrated with current slum upgrading practices.

Furthermore, to reduce water wastage in settlements where water is at a premium, the use of greywater (household wastewater) in green roofs is encouraged by Van Mechelen, Dutoit and Hermy (2015) and Katukiza et al., (2014) as it reduces the need for artificial fertilizers hazardous to runoff water (Whittinghill & Rowe, 2012). In some communities, the non-re-use of greywater has now become an offence (Boyd & Ghosh, 2013). Rainwater harvesting is also another good source of water for irrigation as detailed by Handia, Tembo and Mwiindwa (2003) and Zakaria (2014). Although rainwater may contain impurities (Handia, Tembo and Mwiindwa, 2003), the danger of asbestos (carcinogenic) contamination associated with rainwater was discounted by world health organisation (WHO, 2003).

Zambia's soil is not relatively conducive for farming with mixed climatic condition and seasonal rainfall (Swab, 1993). Although, green roof technology portends many beneficial qualities especially for urban areas as recognised by Vijayaraghavan (2016), it is cheaper when sourced locally including vegetation. Since green roof technology and design needs to be customised to suit the local terrain (Vijayaraghavan, 2016), the variety of plants that could be grown using green roof method increases. There are over 175 species of vegetables known to thrive in Zambia (Mingochi & Luchen, 1997). Urban farmers often resign to use of contaminated lands (Whittinghill & Rowe, 2012) which they believe is harmful to humans and plants. Whittinghill and Rowe (2012) envisage that the implementation of GRT in the urban sector also facilitates the growth of urban agriculture, reducing the rush and demand for fertile land to cultivate.

The policies surrounding slum upgrading in developing countries seems in their infancy with household sustainability factors less visible in the current implementation exercises that may encourage demolition or forced sale of property that leads to movement to other slums and their proliferation. The existing policies are not reflective of structural longevity to withstand flooding, how it impacts land contamination and complements the existing slum landscape. A paradigm shift in the ongoing slum upgrading exercise may be required to incorporate existing slum upgraded houses, often financed by UN-Habitat, to accommodate for planting of vegetables or root crops, which is also critical in maximising use of space in slum.

### 3.4.2 Ubiquitous Technology

Ubiquitous technology (UT) are computer technologies which adopt sensors and networks to effectively communicate with embedded systems in personal devices such as mobile phones (Yigitcanlar & Lee, 2014). UT are currently been explored to manage urban information and services in many countries, these technologies are considered necessary to abate the socio-economic and environmental issues created by excessive urbanisation. A ubiquitous urban setting as suggested by Lee et al., (2008) exploits technologies to direct interaction between human, environment and urban challenges with nominal impact on nature. Yigitcanlar and Lee, (2014) stated how ubiquitous technologies have permeated our living space and impacted many areas of our existence, which gives us the tools to navigate our environment remotely and wirelessly. Yigitcanlar (2010) extensively listed applicable areas of the technology including pollution control. Researchers such as Yigitcanlar and Lee (2014) commented on the sustainability and intelligence contribution of the system to urban areas and place branding. A move that will transform future planning of urban cities to accommodate foreseeable expansions (Cohen-Blankshtain et al., 2004; de Jong et al., 2013).

Between Wang and Ye, (2004) and Wang, et al., (2011) the principle of what constitutes a smart ecological city is analysed, while Xia (2008) in his submission posit on features of a renewable urban setting however, Yigitcanlar and Lee (2014) admit that more effort is needed for any city to achieve 100 per cent renewable status. Yigitcanlar and Lee (2014) highlight reflections by researchers including Jacob, Godschalk, Stead, Naess and Dizdaroglu who discuss achievable urban prototypes appropriate for various project scheme and scope and explore some of the challenges that may arise against UT, which includes inclusiveness of marginalised urban poor.

Due to management of big data that may be associated with UT usage, Fitz and Reiner (2016) call for hybrid technologies in navigating the ubiquitous route. Rangaswamy and Sambasivan (2011) explore the correlation between ubiquitous technologies and their utilization in slums, while Banerjee et al., (2012) and J-PAL (2012) further highlight the cost of technological overheads among urban disadvantaged. Technologies also being introduced into slums include Geographical Information System (GIS) and remote sensing, as a potential solution to addressing challenges in slums (Khadr et al., 2010). This view was reinforced by Kohli et al., (2012), highlighting other possible mapping methodologies deployed in slums.

Due to the multi-dimensional issues raised by slums, managing multiple scenarios in slums may require new innovative or technologically inclined approaches to review both visible and invisible impact embedded in slum index. The introduction of new method may spring fresh ideas and create opportunities especially in data gathering for cutting-edge research in slums, however, more research is needed to measure effect of the introduction of new technology in slums as recognised by some researchers. Most slum tourism research is often one directional usually analysed from ethnographic point of view especially the ones associated with slum tours, with UT appreciating the links between disparate parameters may become evident which could also allow us to connect the ‘slum dots’ backward. The examination of slum environment is complex and time consuming, so also is the human cost associated, UT may be a window to incubate potential panacea towards understanding at a glance and in real time challenges posed by slum. Government however may hijack new technology; project scope and cost spiral and lack of local expertise and infrastructural deficiency in developing countries may also contribute to implementation huddle.

### **3.5 Slum Tourism Practice, Film and Tours**

The practice of slum tourism is not a recent phenomenon (Nisbett, 2017). The concept was first introduced in the 19<sup>th</sup> century, providing journeys through poor neighbourhoods of London during the Victorian era for affluent Londoners (Frenzel, 2016; Koven, 2004). Frenzel (2016) noted that it symbolised the social divide of old Britain, which ushered in the welfare system introduced after the second world war and the gradual disappearance of slums. Diekmann and Hannam (2012) confer slum tourism used by the rich people to set free from the social quagmire and as an act of altruism by wealthy women. Rolfes, Steinbrink and Uhl (2009), stated that slum tourism was first used in emerging economies of Asia and Africa due the growing inequalities in the mid 90’s.

Rogerson (2004); Rolfes (2010); Butler, Curran and O’Gorman (2013) noted that the modern approach to slum tourism as witnessed today began at the end of apartheid in South Africa in 1991, when guided tours of black south African areas, which mostly took place in poor townships, started, Frenzel (2016) states that slums re-emerged in the 90’s, as a consequence of governments lack of foresight of rising social disparity. In the Frenzel et al., (2012) account of slum tourism, slum tourism is described as a social junction where the affluent global north

meets the disadvantaged communities in the global south, while Frenzel et al., (2015) revel in the mass tourism element and unique attributes of slum tourism. As slum tourism is a feature in many developing countries, Rolfes, Steinbrink and Uhl (2009) suggest favelas of Brazil, townships of South Africa and major cities of India as places of interest when it comes to slum tourism travels. This view was upheld by Frisch (2012) and Meschkank (2011) while discussing the increase in slum tourism in Rio de Janeiro and Mumbai.

The business of slum tourism has transformed in modern times from informal settings to well-promoted ventures with interest from many stakeholders including non-governmental organisations and privately-run tour companies (Nisbett, 2017). This new form of tourism is often managed by people external to the slum communities (Kieti & Magio, 2013) and mostly “whites” as reflected in South Africa township, reported by Rolfes, Steinbrink and Uhl (2009); Booyens (2010). Kieti and Magio (2013) further stress that the philosophy of these large tour companies is often divisive among supporters of sustainable tourism, as tour operators are often manipulative and monopolistic in their dealings with the slum dwellers. The exposure of slum tourism to external factors causes tourism leakages in the view of Freire-Medeiros (2009), affecting the deserved benefits intended to be accrued by participating slum communities, noted by Mowforth and Munt (2009) and Frenzel et al., (2015). Scheyvens (2009), also supported this line of argument as does Fennell (2006) in his cost-benefit analysis of slum tourism. Diekmann and Hannam (2012) observe that tourists are drawn to destinations through images they see on media and analyse the tool of photography and film champion their ability to transform perception through the capture of a variety of evocative images, for example slum movies such as ‘City of Joy’ and ‘Slumdog Millionaire’ that depict slums in India as a places of interest with opportunities. However, Nisbet (2017) gave examples of image capturing through photography as one of the intrusive elements of slum tourism. Frenzel et al., (2015) noted the evolution of slum tourism to now include the use of cars and bikes during tours and many social activities such as festivals, markets and concerts. He also noted the spread of slum tours across townships, favelas, barrios and other slums, with popular mention of Reality Tours and Travels (RTT) in Dharavi, Mumbai.

Nisbett (2017) in further analysis of slums identifies a gap in slum tourism research and raises concerns about slum tourism being clouded by issues around ethics and voyeurism. Kieti and Magio (2013) reflect that there are two contrasting groups of researchers on slum tourism making it a very contentious field of study among tourism researchers that is strongly criticised

by many people. They cited Steinbrink (2012), who likens the experience of slum tourism to a zoo setting, with rich people visiting the poor, which contrasts with Cawthorne's (2007) enthusiastic view that slum tourism breeds entrepreneurship and a point of reference of the day to day living of slum dwellers.

Kieti and Magio (2013) note that the reason why some researchers hold negative views about slum tourism is because of the exploitative nature of the concept on those who are predominantly poor, with little or no adequate infrastructure, such as durable housing, sanitation, limited access to food and clean water or security of tenure as acknowledged by UN-Habitat (2003). Dürr (2012) in their opposing view, raises the question of slum tourism being extremely intrusive and considered poverty its main bone of contention, while Crossley (2012) expresses concern about the effects of slum tourism, particularly on women and children and the ethical questions it raises. By contrast, Frenzel and Koens (2012) elaborate on the historical and educational roles slum tourism has played in society, while Weiner (2009) praises the role of slum tourism in poverty eradication and positive socio-economic impact on the poor.

To gauge voyeurism in slums, the voices of slum settlers are highly important. Kieti and Magio (2013) reports on the findings of some slum tour operators, that exposes the enthusiasm expressed by slum dwellers when visited by tourists and how they felt it could provide the impetus necessary for change in their communities. Rolfes, Steinbrink and Uhl (2009) noted that terms such as slumming, poverty tourism and poorism are commonly associated with slum tourism, due to the voyeuristic nature of slum tours. Mendes (2010) and Frenzel, Koens and Steinbrink (2012) also express this disquieting view in some of their reports, which suggest a negative reception and attitude of slum inhabitant to tourist. Studies carried out in a slum in India show an insignificant per centage of slum dwellers feel discontent about slum tourism (Nisbett, 2017), similar results were found in Rocinha favelas of Brazil (Frenzel et al., 2015). Slikker and Koens (2015) further noted that slum dwellers become more receptive to tourists as they become aware of slum tourism potential. Koens (2012); Kieti and Magio (2013); Koens and Thomas (2015) and Nisbett (2017) recognise in their research considerable informal employment created through the introduction of slum tourism in some communities but emphasize that these flashes of entrepreneurial opportunities recorded in slums are not replicated on a large scale.

The table below is a survey carried out by Dyson (2012) in Dharavi, India to ascertain the perception of slum tourists on the living and working conditions of slum dwellers. Data analysis reveals, the numbers of slum tourists who are astonished by some of the positive findings (Totally unexpected column) in Dharavi slums, predicated on data in the table, seems to be more than the number of tourists who were not expecting to discover anything they considered out of the ordinary for the settlement (As expected column). The benchmark used in measuring cleanliness, services, orderliness and other parameters by the author in Dharavi slum seems to be subjective, nevertheless the validity of these indicators may point to a slum tipping towards a “slum of hope”.

Dharavi Slum Survey (Annual Turnover US\$665 M)	Totally unexpected (no of people)	As expected, (no of people)	Sort of as expected (no of people)
Presence of recycling industry	~ 60	~ 10	~ 30
Type of employment	~ 50	~ 10	~ 40
Level of ‘order’	~ 45	~ 18	~ 40

Size and scale of Dharavi	~ 20	~19	~ 62
The ‘look’ of residential area	~ 18	~ 27	~ 45
Size of homes	~ 18	~34	~ 46
Working conditions	~ 9	~ 36	~ 53

**Table 9:** Dharavi slum survey. Source: Dyson, (2012).

Frenzel (2016) raises the question of shame and stigmatisation to affirm the social divide in society and as part of the moral justification for why slum tourism is abhorred by some. Lister (2004), Wacquant (2008) and Walker (2014) believe this is common in most cultures. In Frenzel’s (2016) analysis of the poor, he suggested that on assumption that poverty is

manufactured, questions of why poverty exists emerge and this could be a ploy by the rich to ridicule the poor. He also discusses the “othering of tourists” and linked the culture of shame with tourism. Urbain (cited in Frenzel, 2016) delves into tourist perception of one another and the dearth of local knowledge that often accompanies tourists call to new destinations while Richards and Wilson (2004) discuss anti-tourism and Gubrium, Pellissery and Lødemel (2013), Walker (2014) and Frenzel (2016) reflect on connotations when people discuss dirt, inequality, squalid conditions, slums often come to mind.

Koven (2004) in their classification of what constitutes slum tourism, concludes that anyone visiting or benefiting from slum tourism is involved in ‘slumming’, including academics engaged in slum tourism research. Despite slum tourism being voyeuristic, Rolfes, Steinbrink and Uhl (2009) recognise the rise in the number of visitors going on tours to Favelas in Brazil and townships of South Africa. Frenzel et al., (2015) affirm that the slum tourism sector welcomes more than one million tourists yearly, with the single intention of touring poor neighbourhoods or volunteering. The socio-economic impact of tourism could be huge as identified by Shah and Gupta (2000) in their analysis of the positive and negative influence of tourism. Ashley, Boyd and Goodwin (2000) went further on the indirect impact of tourism on the urban poor, such as generating funds for investment in health and education.

Rolfes’ (2010) assessment questioned the logic behind the non-communicative experience of tourists and slum dwellers, which according to Mowforth and Munt (2009) may inhibit the economic impetus needed to achieve developmental goals. This stand is also reflective of the practice in Kibera, Kenya as noted by Kieti and Magio (2013) calling to question the valorisation and sustainability of slums. Frenzel et al., (2015) questions the rationale behind why slums have not been marketed or explored either for their economic advantage or social welfare capabilities.

Considering the opinion of the researchers mentioned above, this review hopes to contribute to the study of slum tourism by exploring other ways of attracting tourists to slums, through lessons learned from slum interventions, considering poverty appears to be the main attraction (Frenzel et al., 2015). This study particularly explores the role of slum dwellers in slum tourism and their perceptions on possible interventions. More so, there is a shortage of research on slum tourism (Frenzel & Koens, 2012). This gap in research could be contributing to the lack of information on critical areas of slum tourism research (Kieti and Magio, 2013), such as its impact on slum settlers. As slum tourism often takes place in poor neighbourhoods Rolfes,



Steinbrink and Uhl (2009), the review evaluates some pro-poor tourism concepts as a means of capturing self-sustainability opportunities in urban slums. Carmichael (2000) and Kieti and Magio (2013) concur that for slum tourism to be sustainable, it ought to be experienced through the slum dwellers perspectives.

Although, many researchers have written extensively on slums and slum tourism, consideration was given to publication by Kieti and Magio (2013) due to region and slums covered.

In India, slum tourism here generates an annual turnover of \$700 million. One of the most popular slum tour companies is Reality Tours and Travel (RTT) based in Dharavi, Mumbai, one of the largest slums in India with a population of nearly six hundred thousand (Municipal Corporation of Greater Mumbai, 2010). The neighbourhood is centrally located and seems to benefit from some of the infrastructure the city provides, such as 'three hours of water supply and electricity' (Hannam & Diekmann, 2011). Dharavi 'is much more like a vast innovative industrial estate which transgresses western socially constructed notions of what is and what is not seen as poverty' (ibid). Frenzel (2016), however, observed a gap in the position of tourists on entrepreneurship using Reality Tour and Travels as a focus.

RTT is a company jointly owned by Chris Way and Krishna Pujari, British and India entrepreneurs, created for slum tourism in the city of Mumbai, India. The idea of slum tourism in India was initiated by Chris Way based on his experience of slums (favela) in Brazil. Enshrined in the RTT ethos is changing people's perspectives about slums through positive images and the cohesion and working relationships that exist within Dharavi slum settlement. To kick-start RTT operations and raise funds for the project, the partners embarked on the provision of educational classes for youth within the slum community. The business attracts over 3, 500 tourists annually from all age groups, with small groups taken on each tour. Package tours are sold to tourists, for which bookings can be made and paid for online and include guides taking tourists around the slum to observe slum settlements and the activities that are taking place. Income generating activities include the sale of hand-made goods and tour guide operations with some of the revenue going to non-governmental organizations that rehabilitate slum residents; schools and dispensaries (Chege & Mwishukha, 2013).

Many of the tourists who visit Dharavi are from the United Kingdom, Australia and the United States. The motivations of people visiting the slum are different based on the research carried

out by RTT, while many tourists are referred by family and friends, others are attracted through images in the media. The tours are often carried out by local guides who are sometimes a product of the slum, so the reality of slum living may not be new to them. The guides perhaps are paid by the tour company to portray the good image of the slum and create a lasting and vivid connection between slum inhabitants and visitors (Diekmann & Hannam, 2012).

There are different forms of slum tourism noticeable in many other parts of the world, designed for different touristic interest such as tours of townships in post-apartheid South Africa of Soweto and volunteer tourism taking place in Kolkata, India (Mowforth & Munt, 2009). In Soweto township tours, run by the Soweto slum tourism association and operated by slum residents who work as tour operators, caterers, entertainers among others, and are keen to market the Soweto townships exhibiting their cultures and traditions, creating innovative programmes to encourage tourist (mostly international) to engage with local-residents (Chege & Mwishukha, 2013). Slum tourism in Brazil begun in approximately 1992 and is currently well established in Rocinha settlement is Rio de Janeiro's largest slum and home to 200,000 people (Chege & Mwishukha, 2013; Freire-Medeiros, 2009). Tourism here is in the form of guided tours run by locals and appears to have been useful in raising awareness of poverty and bringing income to the needy communities (ibid). Slum tourism was also noticed in Kibera slums, Kenya which is assumed to be one of the most visited slums in Africa and the main tour organisers seems to be Victoria Safaris Tours whose mission at inception could be summarised as creating awareness of the plight of the poor in Kenya to both foreign and domestic tourists (Chege & Mwishukha, 2013). Mowforth and Munt (2009) states that slum tourism the aims of which include increasing employment and involving local people in decision-making was intended, in the long term to eradicate the slums.

The table below considers the arguments for and against slum tourism globally, based on evidence provided in the introduction of literature review, also highlighted are some of emerging economies popular slums most of which were cited by UN-Habitat (2003) and Davis (2006).

<b>For</b>	<b>Against</b>	<b>Popular slum in emerging economies</b>
The practice contributes to gross domestic product of local economy (pro-poor tourism)	Poverty is an attraction to slum	Rio de Janeiro (Favela) - Brazil
Increase in tourism encourages government interventions	There is lack of trust between slum dwellers and government. Policy makers are interested in slum gentrification and commodification	Kibera - Kenya
Slum tours create opportunities for discussion and open opportunities for networking	Lack of local resident participation, market restriction hinders sustainable tourism (Mowforth and Munt, 2009). Tours often discourage communication between slum dwellers and tourist.	Dharavi - India
Slum visitors generate revenue for slum projects	Proceeds of tourism are not locally invested which promotes tourism leakages	Medellin - Colombia
The practice breed entrepreneurship and creativity, as urban dwellers turn to such poor areas for goods and services not found in mainstream society (Heap, 2009; Dowling, 2009)	Slum inhabitants are new to business and innovation.	Soweto (Townships) – South Africa
The practice creates informal employment in slums	Most employment created are laborious and low wages	Orangi Town, Karachi - Pakistan
The practice brings slum tourist closer to poverty	The practice is shameful and voyeuristic	Ciudad Neza - Mexico

**Table 10:** The argument for and against slum tourism globally. Source: Adapted from UN-Habitat (2003) and Davis (2006).

Slum tourism is an emerging interventionist approach employed in many developing countries to address slum needs and promote the rich cultures and talents that these communities possess. Arguments against slum tourism include the voyeuristic nature of the practice and the type of labour that is created, these can be addressed by ensuring stakeholders, especially slum dwellers have control over the narrative through effective place branding.

### **3.6 Place Branding in Slum Tourism**

The current state of slum tourism development in Zambia is explorative and travellers allocentric, tourism needs to be promoted to achieve the economic and infrastructural growth that are required to attain improvements in the quality of life and to create an enabling environment for tourism to thrive. Policy makers globally are now aware of the importance tourism play in economic growth and advancement (Mowforth and Munt, 2009). Capturing these benefits demands that tourism evolves from an explorative position to one of development, where tourism institutions are at an advanced stage for marketing engagement and advertisement of goods and services to visitors (R Butler, 2006). Local goods unique to the settlers and fixtures relaying folklore that showcases rural and ancestral roots for example, could be promoted to attract international visitors. Slum settlements also have the potential and capacity for commercialisation of produce and touring of settlements including accommodation of guest and knowledge transfer. The process has the potential to create multiple streams of income for dwellers which may be invested in the education of wards, sustenance and as a community on infrastructure such as local information centres and profits can be reinvested. The investment in self and community is important for image branding and the changing of the settlement narrative from a space of poverty to one that is looking outward for equal opportunities and a level field. This progression for most slums demands a change of mindset and broader rebranding process, for any meaningful shift to a slum of hope. The transition also entails understanding of products that appeal to visitor, but first and foremost serve the interests of the hosts. The involvement of policy makers and institutions and investment in behavioural and image change to negate the effects of poverty and economic coping mechanism such as begging, sometimes common in slum settlement is crucial (Whittinghill and Rowe, 2012).

A brand is not only a sign or logo, as generally conceived by many, but an entity that has the capacity to add value to a product (place or territory) and with the ability to influence its meaning (Kapferer, 1997). One of the preconditions of a product to be conferred the title of a brand, is for the brand to resonate in the mind of consumers, this is often brought about due to the links that exist between product and consumers Klijn, Eshuis and Braun (2012). Branding therefore carries more than just a symbol or a product; rather it serves a duality of purpose which influences both thoughts and emotion. A place brand could be defined as a “geopolitically physical space, a culturally, historically or ethically limited location and a psychological attribute of the relationships between people,” (Kotler et al., 2002), this is still evolving and may have a role to play relating to informal settlements, particularly due to its features (Kalandides, 2011). Lucarelli and Brorström (2013) note that places or neighbourhoods are now becoming a mecca to showcase unique culture and customs. The element of place branding as highlighted by the duo has metamorphosed through a phase where it is now visible and marketed in some quarters as part of a tourism product or action.

Places are now constantly competing for visitors to engage or market their products to or show the uniqueness of their products over other cities (Dinnie, 2004). There is a need for places to distinguish their products from others or control the perception (ibid) and take control over the narratives of their stories. Some researchers believe that for such exploitation to be credible and be used as a mechanism to promote tourism, place branding ought to be reviewed for its potential to encourage cohesion within the community and collaborative with participants (Konecnik Ruzzier & de Chernatony, 2013).

Slum tourism as a microcosm of place branding is now being explored by many governments as a means of poverty alleviation and a tool for sustaining communities (local and international) according to Goodwin (2011) perhaps due to the increasing number of visitors being drawn to these ‘poverty spots’ for various reasons including the opportunity to experience poverty first-hand, with Rio de Janeiro and Cape town townships attracting over 35,000 and 290,000 visitors respectively (Rolfes, Steinbrink and Uhl 2009). Hernandez and Lopez (2011) also observed the positive functions place branding could play in the life of urban citizens and caution on the need for careful monitoring of such benefits. Hernandez-Garcia (2013) further cited that due to features (size and social) witnessed in informal settlements of Latin America, branding and slum could possibly interact. Menival and Charters (2014) in their observation noticed that cities or areas that have embraced place branding seem to benefit by drawing attention to the

place and products. This ability of place branding to generate interest from visitors local and international confirms the potential of place branding to change or empower citizens, either negatively or positively. A place narrative could also account towards the meaning ascribed to it, knowing the image of a place may help understand its exact state of wellbeing and could reveal possible interventions. The purpose of place branding is far from being only to attract investors or visitors, it could also help rebuild a failing city (Kalandides, 2011).

Torres (2012) in their report concluded that slums are an old phenomenon and that many attempts by policy makers to integrate informal settlements through slum upgrading or eradication have not yielded any significant result. Neither of these approaches have addressed the issue of slum stigmatisation which is considered a prelude to poverty, crime, and unexploited capacity building potentials in slums. Slum tourism and place branding may fill the gaps of past interventions. This requires taking stock of potential attractions that may include man-made (culture, entertainment, events) or natural attractions which can be positive or negative according to Rolfes, Steinbrink and Uhl (2009).

Slums are a common feature of the Latin American landscape (Hernandez & Lopez, 2011) created due to abandoned or unused spaces, that attract deeply rooted biases (Hernandez-Garcia, 2013) that may be unwarranted. Medellín, one of the most populous cities in Colombia, after Bogotá the capital city, with a population of less than 5 million inhabitants, previously an underdeveloped and deprived slum settlement, has been recognised as one of the most innovative cities in Latin America (Hernandez & Lopez, 2011). Similar, to the tenure approach used in managing slum settlements in Zambia (UN-Habitat, 2003), the informal inhabitants of Colombia were also absorbed formally into the urban setting after a period of 20-30 years, as the government found it challenging to repossess the space (Hernandez-García, 2009). Hernandez-Garcia (2013) argues that the nature of slum settlements transcends housing structures, as this diminishes the attention that needs to be given to tackling the issues of informal settlements. Other features such as social, economic, politics, architecture and culture are also visible in slums and should be reflected in the analysis of slums. This leads to further questions about the visibility and invisibility of slums to demolition and tourism and branding policies respectively, if slums are believed to be a product of citizen liberalisation and globalisation. If this statement is true, there is a need to review the role informal settlements could play in urban city branding and tourism attraction (ibid).

The election of Mayor Sergio Fajardo ushered in the introduction of a social reform agenda, strategically designed to benefit the poor and foster integration. This resulted in revitalisation and branding through connecting the slum settlement to more affluent parts of the city, this represents an initiative concerned with the far reaching and multi-dimensional issue of access that was impacting the lives of inhabitants. A major achievement of the policy was the introduction of overhead cable-cars public transport system that triggered a new responsibility for slum settlements in mapping a new image for the city and a form of attraction to both local and international tourist to the area. In creating a new focus and changing the perception of the area this new policy could also be contributing to the improvement of the quality of life of slum dwellers (ibid) and increasing attraction to the area.

There are noticeable social and structural innovations taking place in Medellin which are attracting visitors local and international compared to what the city experienced in the past (Hernandez-Garcia, 2013). Medellin, once known for its inaccessibility and notoriety, was given visibility and voice. The benefit of these changes to the poor community were immense, both from an emotional and socio-economic points of view including impacting into initially less considered institutions in the slums (Hernandez-Garcia, 2013). Issues around poverty, inclusion and discrimination are still prevalent in the community, however the slum residents have been given new hope considering the changes implemented and the upsurge in tourism development. Hernandez-Garcia (2013) referred to the new development as Social Urbanism, which encapsulated the feelings, gradual inclusion of slum dwellers in community meetings, and structural development taking place in the informal settlements. Social urbanism is one of the most applicable global terms often called upon when urban redevelopment is mentioned (ibid). The exploitation of the new term placed Medellin on a different global platform and created a new reputation or image of the city (Branding). Social urbanism however comes with a huge spending cost and concerns especially on infrastructural maintenance and formal integration of slum settlers and raises questions of acceptability.

While the Medellin model may not be universal, considering that no two slums are the same and the challenges faced by settlers are dissimilar, there may be key lessons that could be drawn from their place branding approach. The various government departments responsible for the branding of slum in Lusaka, Zambia as a place of touristic interest seems non-existent or deficient, a reconsideration by stakeholder of the tourism industry in Zambia may be required. South American countries are reaping the dividends of investing in slum settlements through

“social urbanism” or pro-poor tourism and witnessing a transformation or rejuvenation in community development and engagement (decline in criminality and poverty). Slum settlements in Lusaka appear to be behind in infrastructural investment and policy change which are necessary to kick-start the capacity building process crucial to usher in the long overdue economic benefit Lusaka urban settlement demands. The location and culture of entrepreneurship and innovation in Kalingalinga may place the settlement in a good position for place branding that supports slum tourism.

### **3.7 Summary**

This chapter identified external and internal autonomous interventions in slum settlements and explored the practice of slum tourism in detail. The traditional tourism business is a largely privately controlled and profit-driven sector, with proceeds intended for tourism investors contrary to poverty alleviation (Matarrita-Cascante et al., 2010; Sakata & Prideaux, 2013; Scheyvens, 2009). Due the country’s richness in nature reserves, Zambia has often seen tourism as the main sector worth investing, however, current tourism sector excludes slum tourism. The notion that slum challenges can be addressed through tourism is always a divisive one as stressed by many other researchers (George & Booyens, 2014; Rolfes & Burgold, 2013), with the issues of slums being wide-ranging and in urgent need of resolution.

Examples from around the world using a range of methods, with different products and services, provide evidence of the potential that pro-poor slum tourism could have upon poverty alleviation and improving the socio-economic profile of a place. In some cases, the observed tourism did not, however, reduced the poverty that remains an attraction to slums; instead the neighbourhoods are given a new tourism dimension, but there is the latency for voyeurism, gentrification and slum valorisation.

By contrast, for slum tourism to reap net benefits for a settlement and its residents, the literature reviewed leads to the conclusion that participatory methods should be utilised that allow control over the stories and brand of a place rather than being led by the curiosities and interests of the tourist. In this way, the external intervention meshes with the internal autonomy, through the residents participating in entrepreneurial endeavours which engage the tourists. Participation



in this way retains some element of independence, autonomy and agency of those who would otherwise be the helpless subjects of tourism.

In aiming to achieve this dual value, attractions should be reviewed and tours agreed by all stakeholders, while care is taken to ensure that the new market remains sustainable. The following chapter discusses sustainability, its significance in slum tourism and the prominent barriers to achieving sustainable solutions.

## **4 ACHIEVING SUSTAINABILITY IN SLUMS**

### **4.1 Introduction**

This chapter considers the importance of achieving sustainability in cities and how this impacts urban prosperities and economic development. The chapter opens with a consideration of sustainability in line with the sustainable development goals and the achievements of the United Nation in implementing key agreements to address global urban challenges. Next sustainability, as it applies to this research, is defined and finally themes relating to the challenges of achieving sustainability posed by the existence of slums are identified and discussed.

The proliferation of slums in cities is one of the ramifications of unequal distribution of investment in urban spaces. While these practices may be beneficial and attract national and foreign investors, the sustainability of cities, especially in countries of the Global South including sub-Saharan Africa, is threatened by the challenges to health, welfare and environment that slum settlements represent. Addressing the challenges requires understanding of the drivers of slum proliferation (including the unique life stories of the migrants) their impact on urban infrastructure, and cultural, traditional and economic contributions.

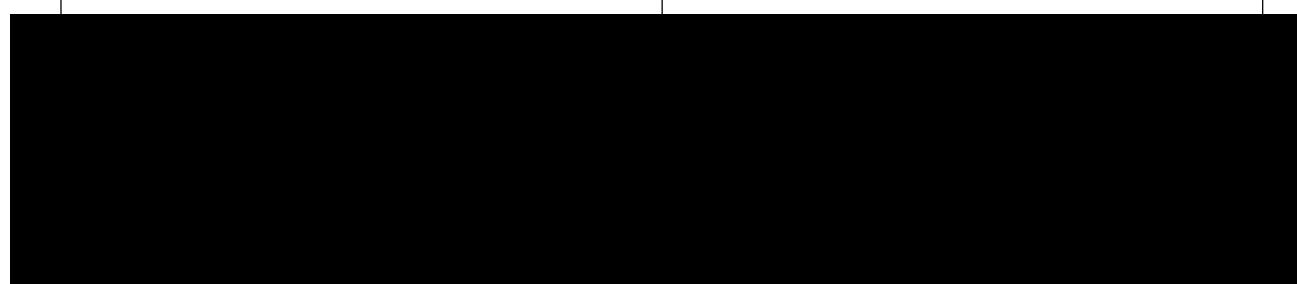
Identification of the specific challenges that affect slum settlements can direct the collaborative transformational approach required for their integration into the city ecosystem. For slum tourism to be considered an interventional approach in slum settlements that aligns with the ideals of PPT as discussed in Chapter 3 the underlying question of slum sustainability has to be reviewed for the benefit of socio-economic prosperity and continuity of purpose to achieve the overarching outcome of alleviation of poverty. Achieving this goal will entail a policy shift, which has been lacking in the past and a 3-tier resolve from the government, people and other stakeholders, whose interest is linked to an enabling and viable slum community. The way in which sustainability fits in the conceptual model of slums and the role of tourism, as well as the understanding of various theoretical constructs of poverty are discussed in Chapter 5.

### **4.2 Sustainable Development Goals (SDGs)**

The United Nations Educational, Scientific and Cultural Organisation (UNESCO) based on Bruntland Commission report, 1987 define sustainable development as the ‘development that meets the needs of the present without compromising the ability of future generations to meet

their own needs’. To quantify these needs, the body identify four key linked indicators – society, environment, culture and the economy, and 17 Sustainable Development Goals (SDGs) which, if achieved, will enable holistic movement towards sustainability (UNESCO, 2019). SDG 11 (see figure below) in particular applies to this thesis in calling for cities to promote inclusivity and build resilience and safety for citizens in the pursuit of sustainability.

<b>SUSTAINABLE DEVELOPMENT GOAL 11:</b> <b>Make cities inclusive, safe, resilient and sustainable</b>	
<ul style="list-style-type: none"> <li>• By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums</li> <li>• By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with</li> </ul>	<ul style="list-style-type: none"> <li>• Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning</li> <li>• By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and</li> </ul>



<p>sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries</p> <ul style="list-style-type: none"> <li>• Strengthen efforts to protect and safeguard the world’s cultural and natural heritage</li> <li>• By 2030, significantly reduce the number of deaths and the number of people affected and substantially decrease the direct economic losses</li> </ul>	<p>Reduction 2015-2030, holistic disaster risk management at all levels</p> <ul style="list-style-type: none"> <li>• Support least developed countries, including through financial and technical assistance, in building sustainable and resilient buildings utilizing local materials</li> <li>• By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to</li> </ul>
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relative to global gross domestic product caused by disasters, including water-related disasters, with a focus on protecting the poor and people in vulnerable situations	economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new
and other waste management <ul style="list-style-type: none"> <li>• By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities</li> </ul>	dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally

**Figure 11:** Sustainable development goal 11. Source: Mususa and Rodrigues (2017)

The notion of an inclusive, safe, resilient and sustainable city is an anathema of the definition of the informal, or slum, settlement as described in Section 2.2. The four identified features (inclusivity, safety, resilience and sustainability) associated with realizing the objective of sustainability in cities expose the need to address some of the pressing needs of the ‘poor’ and ‘strangers’ to the city, such as the housing and poverty gaps in urban settings, the shortcomings of government policies and planning on urban living, institutional and legal failures and access to loans and finance. Examples in UN-Habitat (2003) cite issues of impoverished landlords being unable to maintain or build adequate properties, creating a negative feedback loop of poor-quality housing stock. Additionally, the lack of access to employment that pays a living wage is often the root cause of poverty in slums. While slum settlements appear to be sources of labour and the birthplace of the proficiency relished in music, dance and politics, lack of sufficient income can further exacerbate issues of malnutrition, ill health or criminality which cause a further vicious circle (ibid). Unlocking the root causes of the paradoxical conundrums presenting in slums may unveil a route to understanding and resolving the dynamics of slum challenges.

### **4.3 The road map to slum sustainability**

The prosperities of cities as observed by UN-Habitat (2012) depends on five major indicators ‘productivity, infrastructure, quality of life, equity and environmental sustainability’, factors which are noticeably lacking in reports presented on developing nations. Although these challenges may be manageable, seven barriers can affect urban prosperity: ‘poor governance and weak institutions; corruption; lack of appropriate infrastructure; high incidence of slums and poverty; high costs of doing business; low levels of human capital; and high crime rates’ (ibid). The importance of the visibility and addressing of slum settlements and their presenting challenges is made apparent in this statement and further by assertions from a meeting of The United Nations in 2000, when the issues of poverty, hunger and disease were identified among the 21<sup>st</sup> century’s major challenges.

The endorsement of the Cities Alliance: Cities Without Slums action plan, attests to the importance slums as barriers to healthy and prosperous populations, proposing a tangible improvement in the lives of slum dwellers (Khalifa, 2011), to achieve more general economic prosperity. This acknowledgement deposits slums on the global agenda for change, as one of the key developmental concerns facing emerging economies, due to their impacts on economic growth and prosperity. Increasing awareness on these challenges leads to recognition of the role of informal settlements as part of the social fabric of urban regeneration and highlights the need for stakeholders to collaborate and share resources, including investing in cities to drive down the proliferation of slum settlements and make urban cities accessible and liveable. To ensure continuity, the proposed growth in the living standard and quality of life of slum dwellers requires appropriate sustainable development considerations to be able to observe any meaningful change.

But what is ‘sustainability’ and how do we measure sustainable developments? Gulyani, Bassett and Talukdar (2014) discuss the phenomenon of sustainability from cities inability to accommodate rural migrants, a pre-condition to slum development in many urban areas. This became the bedrock of Agenda 21 and Habitat II a global framework on sustainability policies as noted by Whitehead (2003).

## *Agenda 21*

The tourism industry is accepted as a vital contributor to the economic development of nations but is also known for its negative impacts on the environment. Formulating a tourism strategy that promotes environmental sustainability while supporting economic growth is critical (Ashley et al., 2001). Agenda 21, a non-binding agreement was adopted by United Nations Conference on Environment and Development Rio de Janeiro, Brazil 1992, to review cases where human impact infringes on the environment (UN, 2019). The committee agreed to tackle poverty, promote sustainable human settlement development and made a resolution on global action for women towards sustainable and equitable development. This agreement recognises the role states could play in the effective actualisation of the agenda at the local level and urged participatory members to constitute local machinery responsible for its implementation. The agenda is also an innovative mandate designed for the 21<sup>st</sup> century by the committee for participating members to create specific local Agenda 21 for tackling situations where environmental, economic and society conflicts, primarily geared towards achieving a good quality of life for citizens, with the inclusion of multiple stakeholders, the private, public sector and citizenries embraced in shaping the agenda (Sui-Qui and Leng, 2015; Yigiter and Yirmibesoglu 2011). This agenda was subsequently seconded by Habitat II in 1996 to reinforce the need for adequate shelter for all, sustainable human settlements and more. The issues raised by this agenda are a representation of challenges faced by slum dwellers and Zambia is one of the countries signatories to the agreement. Although non-binding, this agreement is significant as a tool for advocating for change within slum settlements and to hold policy makers responsible and accountable on promises.

The Zambian government made progressive efforts on the tracking and monitoring of local implementation of Agenda 21. The Johannesburg summit 2002 documents actions taken to realise the goals of the Agenda from chapter one of the agreement on combating poverty through the ratification of the Environmental Protection and Pollution Control Act, supporting institutions on land use, food security and employment generation, waste management, constitution of NGO policy to chapter 40 on publicity of information vital for decision-making (UN, 2002). Achieving the Agenda 21 goals presented a challenge for the Zambian government as for many countries of the South, due to the resources required for implementation, monitoring and management of the stakeholders involved, the capacity building, training and sensitisation required and the associated research, finance and timescale.

In 2015 the United Nations released the 2030 Agenda for sustainable development, it maintains all the 17 SDGs, with ending poverty at the core of the agreement similar to directive of Agenda 21. The 2030 Agenda urged the 193 members to place critical importance on people, planet, prosperity, peace and partnership (UN, 2015). Exploring Agenda 21 in this research gives visibility to the direction of global thinking regarding concern for issues such as poverty that are more predominant in countries of the South. The conditions of people trapped in poverty, particularly those driven to migrate from rural to urban areas and settle in informal settlement appears inconsistent with the global standard of average earning of \$1.25 a day (Kakwani & Son, 2016). The influx of people to urban settings exerts pressure on limited urban infrastructure and resources and urbanisation of cities is likely to worsen conditions of poverty (Majale, 2008). Agenda 2030 builds on the progress of Agenda 21 and recognises the role factors such as globalisation, urbanisation and tourism play in contributing to negative impacts such as climate changes linked to urban prosperity.

### ***Research into sustainable urban development***

Young, Makoni and Boehmer-Christiansen (2001) noticed the use of words such as development, growth and conservation to embody roles and definition of what constitutes sustainability, which extends a spectrum of research on housing, land, energy, migration, environment and more (Tan et al., 2016). Rasoolimanesh, Badarulzaman and Jaafar (2012) in their account reflect on the challenges of urban design considering multiple factors (Diamantini & Zanon, 2000) including socio-economic perspective often at play while Njoh (2015) evidenced the need for more research on urban slums, one of the millennium development objectives identified by the United Nations. Cohen (2006) elaborates on four main challenges confronting sustainability in developing countries a) rapid urbanisation; b) growth of small cities; c) socioeconomic inequalities within cities; d) Africa's developmental challenge.

Traditional methodologies introduced to oversee urban crises as examined by Ogbazi (2013) have proved weak and call for a more sustainable robust approach to alleviate urban challenges, especially in regard to government and media participation. This recommendation to seek modern methods was also noted by Rasoolimanesh, Badarulzaman and Jaafar (2012); Yigitcanlar and Lee (2014). Muchadenyika (2015), in his research statement, cited issues of affordability as a pre-condition if sustainability is to be taken seriously and made visible. To build a sustainable future, Cohen (2006) commented on the need for more empirical research

on sustainability and advises that a window of technological opportunities abounds especially in developing countries. Zoomers et al., (2017) in their take on sustainability, clarify the urban-rural dichotomy in regards position of land and housing in community discussions, crucial in future city settings and rural sustainability. Tan, Xu and Zhang (2016) in their reflection gave an overview of Chinas take on urban sustainability. The multidimensional definitions of sustainability add layers of complexity to the conversation on urban social reconstructions (Rasoolimanesh et al., 2012). In seeking sustainability this thesis is concerned with each of the five indicators mentioned earlier in securing means by which slum in habitants can increase their productivity in a manner that affords them a good quality of life, prospects for social mobility, safe homes and takes into account the environment. The alleviation of poverty requires mechanisms that are responsive to change, therefore in developing a conceptual framework for considerations of capacity building, skills transfer, strategic partnerships and collaborations are made (see Chapter 5) to foster social and economic sustainability, building resilience.

### ***The role of tourism in achieving sustainable development***

Sustainable development as it relates to tourism is discussed in the Brundtland report of 1987 as a synergy between the environment, economic and socio-cultural. These principles were embraced by the United Nations which gave it credence among academicians and its use a tourism strategy and introduction in public policies (Mihalic, 2014). The introduction of the concept of sustainability in policy and planning has positively impacted the experiences of many communities by addressing issues such as carbon emissions, pollution and recycling. The concept of sustainable tourism also raises the discussion about its negative impact including questions of practical implication and efficiency. This allows stakeholders a degree control over tourism practices implemented where traditional tourism often fails local communities. In some places sustainable tourism is conceived as a tool for tourism review and pursued by actors who capitalise on confusion associated with marketing sustainable tourism packages, which can throw doubt on the usefulness of the concept and what sustainable tourism truly represents.

Goodwin (2000) suggests tourism as a potential sustainable structure to adopt, while Torres and Momsen (2004) posit advantages and disadvantages of adopting tourism strategies, seconded by Mekawy (2012) in his assessment of the value of tourism, although, Frenzel et al., (2015) diminish the current influence of tourism at the local level. Yigitcanlar and Lee,



(2014) recognize some of the challenges associated with city living, the city to them requires a technologically driven management system. Likewise, Gulyani, Bassett and Talukdar (2014) in their literature review identify challenges of urban living, both intrinsic and extrinsic, while Ogbazi (2013) elaborates on identifiable projects that have benefited from deploying sustainable concepts in urban communities but appears reserved about overall acceptability of sustainable techniques. The inability to attain sustainable conditions in urban environments may lead to food insecurity and decreased wellbeing amongst the urban poor (Nisbett, 2017). Furthermore, Olubunmi, Xia and Skitmore (2016) focus on ways the construction sector could contribute to sustainability targets; Young, Makoni and Boehmer-Christiansen (2001) in their summary consider the inclusion of traditional practice in the sustainability debate while Gulyani, Bassett and Talukdar (2014) in their closing remarks appeal for a global review of current state of urbanisation among nations.

The current state of urban space in developing countries, particularly in Sub-Saharan Africa has a countering effect to sustainability goals and some researchers appear to be calling for an alternative approach with a technological, innovative and creative touch (Tan et al., 2016). Their reasons seem genuine considering that development and proliferation of slums seems to be part and parcel of the remnants of unmanaged and uncontrolled urbanisation, inherently unsustainable. Although urbanisation has its merits, as suggested by some scholars could be better managed by efficient urban planning and inclusive policies (UN-Habitat, 2016b). The tourism sector was suggested by some researchers to manage current urban push and pull, with its merits and demerits, however, deficient infrastructural development, socio-political instability and inadequate investment in tourism services and product could be setbacks especially in emerging economies. Time afforded to research on the issues posed by urban unsustainability is critical as suggested by some scholars, this should incorporate localised interpretation of what urban changes are necessary to reflect the inhabitant voices as they are mostly affected by the challenges posed by it.

Sustainable development programmes ideally embrace a responsible and sustainable tourism (*responsustable*), complimented by the Triple-A model (Awareness, Agenda and Action) as suggested by Mihalic, (2014). The Triple-A model according to the researcher provides room for the absorption of SDG goals, suggests ways to actualise sustainability goals at the local and international level and allows for sustainable tourism transit from a “market-value-led and environmentally *laisses-faire* tourism to a more environmental-and social-value-driven

responsible tourism” (ibid). As good as the responsustable and Triple-A model may sound, the reality of achieving a tourism strategy that satisfies the needs of the host community and delivers economic benefits is a struggle, particularly in emerging economies. Hence the need for further research on how sustainable tourism can be achieved.

#### **4.4 Barriers to sustainability in slums**

A review of the literature suggests that there are multiple challenges experienced by slum dwellers which affect their quality of life and impact sustainability in slum settlements. UN-Habitat (2003) recognized the challenges and predicaments facing slums across the globe such as durability of housing, overcrowding, inadequate sanitation, access to water and more. This view is in line with many researchers including Stokes (1962); Marx, Stoker and Suri (2013); Majale (2008) who share similar concerns in their analysis of what slum truly constitutes and express their differences on slums characterization. The challenges are complex, however, with many views on causation, for example, Stokes (1962) in his posit identify differences in slums and their intervention needs while, Swaminathan (1995) focuses on some of the environmental challenges evident in slums development. Zetter (2002) associates slum emergence with ineptness of policy makers, as slums emanate from combinations of street paths, local kiosks, meeting and transportation points, market and food vendors as expressed by (Roy et al., 2014). Marx et al., (2013) noted how slums could become an entrapment for slum dwellers if adequate provisions are not introduced to address various socio-economic and emotional factors that arise from slum proliferation. This can make it hard to determine a way forward and may explain why there are a large number of agencies engaged in slums and yet challenges persist. This implies knowledge transfer is limited and questions around goals of self-reliance arise. To address some of these challenges and isolate criteria to search for, UN-Habitat (2006) indicate what constitutes overcrowding; World Bank (2009) and Banerjee et al., (2012) focus on sanitation in slums of India; J-Pal (2012) report on contamination in slums owing to inadequate sanitation and challenges to provision of urban services. Marx, Stoker and Suri (2013) delve into slum evictions, social mobility and health in slums, Lilford et al., (2017) gave a comprehensive account of health difficulties associated with slum living. Majale (2008) justify nexus between health and employment, while Miguel and Kremer (2004) reflect on implication of health and education on children in emerging countries.

Kuiper and Van der Ree (2006) notice the role played by women in most slums households while Majale (2008) recognised the position of slum settlers in urban debates and the shaping of urban sustainability and explores employment creation through slum upgrading. Majale (2008) also considers the barriers to urban development and policy implementation, including examination of the effectiveness of three tiers of society (public, private and civil) in urban restructuring. Sabry (2010) makes reference to sampling inaccuracies in assessing slums in Egypt that lead to deficient poverty estimations. Factors contributing to lack of investment in slums were identified by Marx, Stoker and Suri (2013) which includes high rent in slums, the Todaro paradox “*slum living standards cannot be improved without generating an additional influx of rural migrants*” and government failures were considered to be breeding exploitation and corruption in slums (ibid).

Slums with their multiple challenges have always been a home to many urban dwellers regardless of the economic woes. There are many negative indexes which remain unresolved in slums and are regularly expressed in literatures; reoccurring themes are poverty, inequality, poor infrastructure and deficient policies. These challenges appear to affect many of the factors identified by UN-Habitat as intrinsic to slum inhabitant’s survival and wellbeing. Being aware of the challenges that exist can direct the planning of activities and stakeholder engagement that strengthen the appropriateness of proposed interventions. Some of the issues identified by researchers considered to threaten the sustainability of slum social and economic development processes are discussed below.

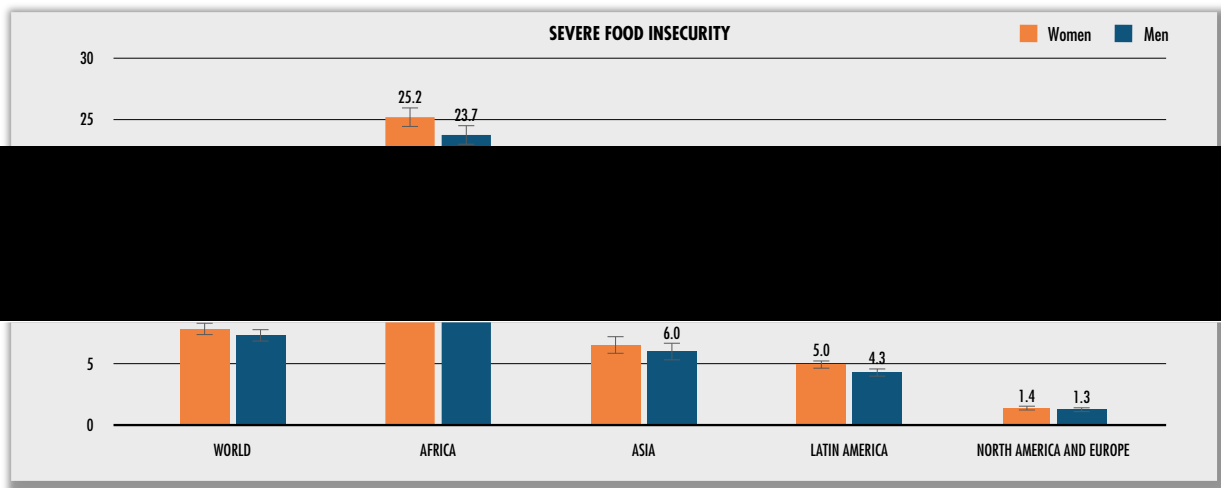
#### **4.4.1 Food (In)Security**

Food security is ‘a situation where all people, at all times, have physical and economic access to sufficient, safe, and nutritious food to meet their dietary needs and food preferences for an active and healthy life’, this definition was approved by the Food and Agriculture Organisation (FAO) of the United Nations and adopted by member nations at a global gathering in 2009 (Hoffine, 2013; Kakwani & Son, 2016). Bickel et al., (2000) describe food insecurity as ‘limited or uncertain availability of nutritionally adequate and safe foods or limited or uncertain ability to acquire acceptable foods in socially acceptable ways.’ Kakwani and Son (2016) in their definition associate food insecurity with chronic poverty. Hoffine (2013) in his analysis identifies food availability, access, utilisation and stability as fundamental to food security, this view was supported by Kakwani and Son (2016). Further evaluation by Hoffine (2013) reveal

that conflicts in Africa region and factors such as diseases contribute to food inaccessibility in Sub-Saharan Africa. FAO however estimate the cost of food wastage in both developed and developing countries to be nearly one trillion dollars (FAO, 2017).

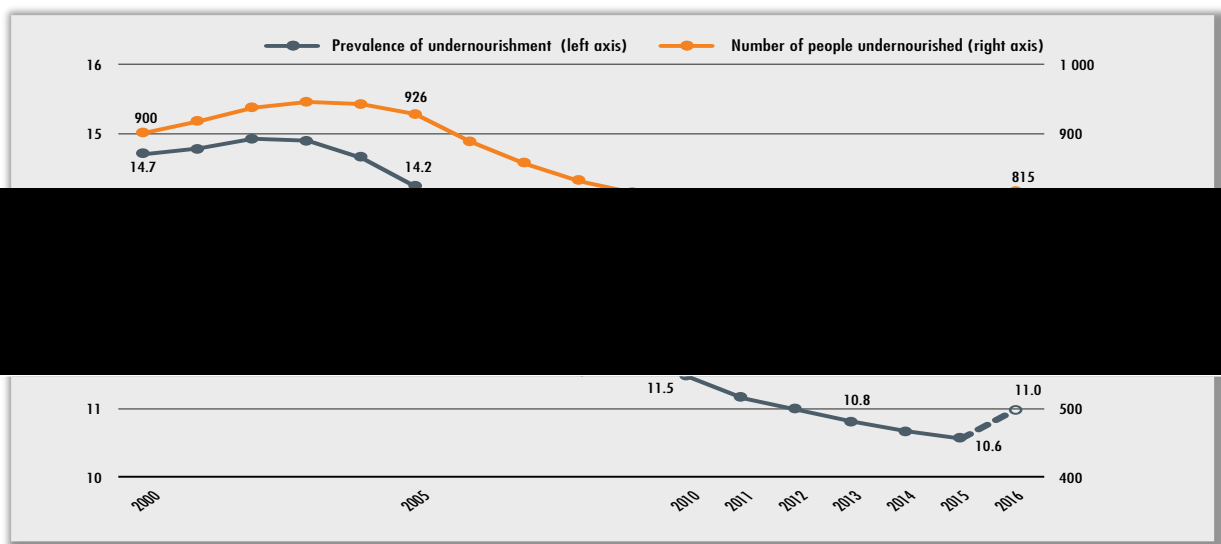
The Food and Agriculture Organisation of the United Nations (FAO) continues to gauge poverty and hunger based on income and expenditure, and caloric intake respectively (Kakwani & Son, 2016). The duo believed food insecurity is analysed using same parameters as poverty. Over 1.065 billion people worldwide in 2015 endured below \$1.25 a day, a figure recommended worldwide as benchmark for determining chronic poverty (ibid). Therefore, it is argued that the minimum dietary energy requirement (MDER) becomes irrelevant, as individuals are found to adapt to low calorie intake level without any impairment to health (Sukhatme's Justification) (Kakwani and Son, 2016). Fanta (cited in Hendricks, 2005) state that 'While food security does not capture all dimensions of poverty, food security may indicate poverty and is an important indicator of wellbeing'.

The food insecurity crisis in many slums appears to be significant and complex, a multi-layered effort may be required as suggested by some researchers to understand the causal effects of food insecurity among the urban poor living in slums (Maitra & Rao, 2015). The high rates of unemployment, migration, economic uncertainties, political instabilities and high childbirth could also be deepening the poverty crisis and food insecurity in slums, there is strong evidence for the need for a diverse group of local, regional and international stakeholders needed to address prevalent food crises (Kimani-Murage et al., 2014). Interventions presently employed in some slums such as urban farming seems reactionary and short sighted to proffering answers to the issue of food insecurity. Although in some of the literature on food security, food banks present a temporary option as a short-term plan, this approach has not been considered for slum inhabitants and research into innovative ways of tackling food poverty in urban setting seems almost inexistent. Strobbe, Olivetti and Jacobson (2013) identified growing of vegetables in some slums in Zambia, however, there seems to be a dearth of information on the extent of food production in many slums of Zambia and managing food (in)security success in slums may prove challenging.



**Figure 12:** Global severity of food insecurity. Source: FAO *et al.*, (2017).

The figure above shows the per centage of populations, stratified by gender, of people affected by severe food insecurity worldwide. The continent of Africa is ranked the highest globally with 25.5 % women and 23.7 % men. This figure appears to demonstrate that over 50 per cent of African population appears to be affected by food shortages and seems to regularly experience hunger.



**Figure 13:** Prevalence and numbers of undernourished population globally. Source: FAO *et al.*, (2017).

The figure above (originally sourced from FAO) is the FAO, IFAD (International Fund for Agricultural Development), UNICEF, WFP and WHO chart which shows a recent increase in

the per centage Prevalence of Undernourishment (PoU) globally between 2015 and 2016 estimated to be 815 million people, a reverse to the decline witnessed during 2005 and 2014. PoU is a worldwide acceptable indicator and monitoring framework on hunger, food insecurity and sustainable development goal 2.1. The relationship between food insecurity and undernourishment, implies food insecurity is more likely to be noticeable in any population where people suffer from undernourishment. The relationship seems apparent in Sub-Saharan Africa with the region having uppermost PoU and is also a concern with the high growth in global population and level of inequality and poverty (FAO et al., 2017).

#### **4.4.2 Street children**

Globally over 150 million adolescents are living on the street Scanlon et al., (1998). There are three categories of street children:

- Children selling goods on street;
- Those found to roam affluent neighbourhoods; and
- Children whose abode is on street, engaged in various undertakings (Filho & Neder, 1998)

Strobbe, Olivetti and Jacobson (2013) observed the rise of children leaving home and residing on the street, they associate this unfortunate trend to rural and urban poverty, lack of jobs, family support and widespread of diseases. Abdelgalil et al., (2004) cited the lack of benefits from policy, teenage pregnancy, influence from age groups and war as possible stimulus, while Filho and Neder (1998) document family poverty and child abuse or labour, a view supported by Strobbe, Olivetti and Jacobson (2013). There is a high per centage (above 40 per cent) of street children emerging from the slums of Zambia (compound or Komboni – a local name often used to refer to slums in Zambia) as noted by Strobbe, Olivetti and Jacobson (2013). Zambia Ministry of Sport, Youth and Child Development (2004) reported an average of 55,000 street children in Zambia between 1991 and 2004.

Street children constitute an integral part of understanding orphans and vulnerable children (OVC). Unfortunately, Zambia is yet to institute policy to confront issues of street children, hence, their situation and encounters while on the street being further complicated by inaccessibility to support structures, poor education, poverty (Strobbe et al., 2013). Inadvertently, UNESCO stumbled on what may be a trend between incidence of slum and rate

of illiteracy in Sub-Saharan Africa and Western Asia (UN-Habitat, 2016a) possibly contributed to by high numbers of street children.

Filho and Neder (1998) call for robust policy to challenge root causes of street children, a phenomenon also often experienced in many parts of Southern America. Abdelgalil et al., (2004) identify a high ratio of male to female living on the street and recorded dangers associated. It is very difficult to present accurate figures on street children partly due to mobility pattern of street children as identified by, Strobbe, Olivetti and Jacobson (2013); Filho and Neder (1998) who recognised that street children often come from households with multiple children and lone parent caution that other reasons are possible. UNICEF (2006) also add a voice and concern about the plight of street children. The notion that street children, constituted of orphans and vulnerable children, are the result of poverty or the impact of HIV/AIDs is unfounded considering findings by Strobbe, Olivetti and Jacobson (2013). The report in its conclusion noted the role extended family play in providing the conducive environment essential to vulnerable children and orphans within the African family structure (G. Foster, 2000), this view was also shared by Filho and Neder (1998). The research hinted that households with maternal grandparents or male head with many female siblings are less likely to produce street children (Strobbe, Olivetti and Jacobson 2013). Strobbe, Olivetti and Jacobson (2013) was particularly cited in reviewing the challenges of street children, this is due in part to the country of reference, year of publication and the extensive research work carried out by the group on street children from slums in Zambia.

The plight hopes and future of children in many slums of Sub-Saharan Africa appears bleak, and a huge number harbour psychological, emotional and mental stress not often visible. Many children from slums choose to live on the street due to challenges at home contrary to reasons associated with household financial situations as reported by Strobbe, Olivetti and Jacobson (2013) in their discussion on street children in Zambia, unlike street children in Brazil who expressed both financial and family constraints as preconditions to leaving home (Abdelgalil et al., 2004). The economic situations in slums of Delhi, India seem a factor in why many slum dwellers never attended school, other contributing factors includes negative effect of rural urban migration (Tsujita, 2009). Poverty seems to always be a common push factor to the streets where street children are confronted by social vices and illicit activities, which create inconceivable negative social vacuums. Tackling poverty in slums through capacity building and education may reduce the number of vulnerable children on the street, although in some

cultures and traditions of Sub-Saharan Africa speaking about street children may still be a taboo.

#### **4.4.3 Health Problems**

Successes achieved in the health sector are considered as some of the greatest accomplishments of the 20<sup>th</sup> century, with humanity expected to live longer (40 per cent in least developed countries) and a recorded decrease in infant death rate (60 per cent worldwide) (WRI, 1998). This viewpoint was corroborated by The United Nations Development Programme who reported similar progress in education attainment and health care (UN-Habitat, 2003). The progress recorded in health was not without its challenges as infant mortality rate in developing countries soared and poor housing conditions appear to be a major contributor to declines in survival rates attached to various diseases. The nexus between poor housing and poor health is widely documented in literature, especially as it relates to challenges faced in advanced economies. The impact of bad health in slum settlements is significant, and it is a prime contributor to chronic poverty. This is reflected in the higher incidence of poor health amongst poor people which may indicate that public health services and other interventions may not effectively reaching poor neighbourhoods (ibid).

The prevalence of HIV/AIDs (Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome) has become the new normal in the causes of poverty in many urban and rural households, based on assessment of AIDs and food security in southern Africa (de Waal & Whiteside, 2003). This stand may not be considered in isolation considering the challenges posed by rural-urban migration (Awumbila, 2014; Harris & Todaro, 1970). The rural-urban cycle is made complicated as many HIV/AIDs orphans are often sent to be looked after by families in rural areas (de Waal & Whiteside, 2003). HIV/AIDs as noted by various researchers is a serious health concern with high mortality rate, affecting many developing nations (Fotso et al., 2007; Ivers et al., 2009). Lilford et al., (2017) in their observation document the prevalence of the disease in slums and highlighted associated challenges faced by slum dwellers. These pressures are further compounded by disregard for health interventions in slums (Bagheri, 2013; Riley et al., 2007). Many researchers including Ivers et al., (2009); Kalinda, Maimbo and Mushimba (2003); Oldewage-Theron, Dicks and Napier (2006) have documented the socio-economic impacts of HIV on urban dwellers, Fiscella and Williams (2004) and Vlahov et al., (2004) caution on linkages between poverty, inequalities and HIV



epidemics, as the disease affects both the poor and rich (Masanjala, 2007). Adults who are affected by HIV/AIDS may find it difficult to sustain or gain employment, as finance or savings dwindle this creates a poverty gap in households which increases vulnerability to all household members especially the ill, young and old in addition to other socio-economic issues.

Masanjala (2007) notes the role poverty played in the spread of the virus, at the household level the impact of HIV/AIDs can be crippling. The contraction of HIV by a member of any household triggers poverty, with direct and indirect implications (Rodrigo & Rajapakse, 2010). These views are important considering slums are still being measured by UN-Habitat based on household indicators (Lilford et al., 2017). Observing the links between poverty and HIV scenarios, Masanjala (2007) highlighted many key areas especially its influence on partial depletion or total elimination of household income and the bearing on community engagement. Further impacts cited by Masanjala include societal estrangement and financial difficulties with limited options including the gender aspect. The position of gender as relates to HIV and poverty in African societies is immensely noteworthy, based on male and female divergent reaction to coping with poverty (ibid). Although many coping mechanisms have been forged over time to counter the challenges of farming shortages, HIV/AIDs according to de Waal and Whiteside (2003) presents a variation in the fight against poverty, of note as mentioned by the team is the effect of HIV on household 'income, asset and transferable skills'. The lack of tangible empirical studies, which focus on relationships between HIV/AIDS, famine, and nutrition, is also a concern, relevant for data gathering and towards building resilience (Barnett & Whiteside, 2002).

There have been many documented and undocumented diseases in slums that affect economic contribution to the slum household. Poverty related interventions targeted towards sustainability in slums may therefore lessen the effect of poor health on the community. The consequence of highly skilled individuals affected by HIV/AIDS may also contribute to skill shortages in the country.

#### **4.4.4 Poverty**

Poverty as characteristic in slums was identified by Lewis (1961) in his research, who cautions about negative classification of some slums. Slums are home to many poor people; this should not be generalised to simply mean that slum people are poor. There may be a high proportion

of people living in slums who are not employed, but many slum inhabitants are engaged in various kind of informal employment and may be economically better off than those not residing in slum settlements, which in some cities could be as high as 60 per cent (Mumtaz & Wegelin, 2001). Poverty has often been measured from a household perspective (income), doing this may not critically be addressing the different parameters associated with poverty, as many slum inhabitants have not chosen to be poor (UN-Habitat, 2003).

‘They may be poor because their housing is overcrowded, of low quality or is insecure; because they do not have access to safe water, adequate sanitation, health care or schools; because they are lacking a supportive safety net; or because they are not protected by laws and regulations concerning civil and political, as well as economic, social and cultural rights, discrimination and environmental health, or because they are denied a voice within political systems (ibid)’.

The poverty seen in slums is sometimes a result of poor housing, insufficient to accommodate in-migration to urban areas, which appears to be linked to deficiencies in housing policies and infrastructural development in many cities. Some of the people affected by poverty in urban areas are the most vulnerable in the society, due to their age, gender and level of disabilities (ibid). The notion that poverty is part and parcel of what creates slums and shantytowns is of no surprise as recognised by UN-Habitat, *Intra Cities differential* (n.d). UN-Habitat, (2003) quoted the figure for worldwide poverty in 2001 to be 924 million people, with sub-Saharan Africa having the highest per centage. The Zambian urban story is quite unpleasant, as poverty figures recorded in most cities has almost doubled (ibid), these numbers, according to some organisations, may have been induced by oversight and misjudgement by Zambia’s government policies on rural-urban migration and the housing provision needed, coupled with inability to stem urban encroachment into slums (World Bank, 2002). Slums are often branded and referred to simply as deprived spaces with a resourceful population (Nisbett, 2017). However, this optimism may not eliminate the intricate relationship between slums and poverty including what naturally sparks slums settlements (Khadr *et al.*, 2010).

Infrastructural development, particularly housing, has often been cited as igniting slum establishment, the fall-out from miscalculation of required urban housing by the Zambian government to accommodate migrant families seems to have created the cycle of urban poverty noticeable in slums, visible in the decline of school attendance and standard, health related

issues, early marriages and motherhood (UN-Habitat, n.d.). Early marriages were observed by the body as a sign of poverty and economic coping mechanism deployed by many poor households. Whittinghill and Rowe (2012) explore coping strategies deployed by the urban poor in managing poverty, while Tan, Hu and Zhang (2016) pinpoints China as an example of a nation enduring a rise in urban inhabitants. Lilford et al., (2017) considered the relationship between poverty and health in slums and found that conditions in densely populated shared physical and social environments play an equal role to poverty in determining health status. Marx, Stoker and Suri (2013) reflect on the reality of slum living, causes of economic destabilisation in emergent economies as preludes to slum emergence and “poverty trap”. The cycle of poverty is often made worse as many slum dwellers also lack access to financial services and rely on moneylenders for contingency and investment capital (Roy et al., 2014). Ashley, Boyd and Goodwin, (2000), isolate tourism as one of the sectors having a significant contribution on poverty alleviation in slums, they also elaborate on the mechanisms necessary for smooth implementation.

Dyson (2012) identifies the complicated nature of poverty in slums based on narratives of tourists and slum inhabitants, he calls for a broader analysis of poverty far beyond assessment based on economic indexes. Although poverty has often been observed to migrate from rural to urban area, Poverty in urban settings is worsening compared to rural areas (Naylor & Falcon, 1995), this supports theories that urban settings attract more unskilled migrants than professionals, which can further complicate urban policies on poverty. Ruel et al., (2000) based it on various socio-economic challenges of many nations. Urban poverty concerns may not necessarily be due to inadequate employment opportunities especially in the informal sector, although, these jobs are often linked with originality and creativity to the benefit of some, the rate of unstable occupations in urban areas according to (Ruel et al., 2000), may outstrip the benefits. Ruel et al., (2000) further highlight the limited success rate and skills of many urban poor as challenges to entrepreneurship in slums, this may increase the danger of poverty and food insecurity in poor urban neighbourhoods. Despite varied levels of success, the entrepreneurial skills displayed by some inhabitants of slum could be an attraction for tourists, which indirectly increases inflow of foreign currency, export and trade to the country.

Maitra and Rao (2015) observed the correlation between poverty and food insecurity in slums, while Suryanarayana and Silva (2007); Jha et al., (2013) and Masiero (2015) in their research in parts of Asia, noted the effect of food insecurity among families not classified as being poor

in slum settlements. Cohen (2006) in his account was complimentary of the role urbanisation plays in cities growth and gives insight into areas of the community likely to be affected by urban spread. Majale (2008) in his submission comments on the role of urbanisation in poverty escalation in poor areas of the cities, forcing people to live in slums; Martínez et al., (2008) in their conclusion envisage that other factors may equally be responsible for poverty in urban settings. This led Freire-Medeiros (2009) to contemplate this contrast, questioning the role of stakeholders in managing the dividend of slums.

Poverty often seems to be at the bedrock of many challenges facing slums, exposure to poverty is more often linked to lack of employment, which is associated with inadequate capital and opportunities, than food insecurity (Ernst et al., 2013; Kimani-Murage et al., 2014). Not all slum inhabitants are poor, some dwellers are millionaires and economically well off (Lilford *et al.*, 2017) which further complicates the definitions and characteristics attributed to slums. This makes it difficult to classify people in slums, the support and services needed for “integration” into urban society, some slum inhabitant are reported to work in formal settings contributing to national economy.

Safety nets and coping mechanism such as “cash and in-kind transfers, price subsidies, and food stamps to income- generation programs” (Ruel et al., 2000) have been deployed in the past to tackle various types of poverty – chronic and transient (ibid). More research however is required for innovative interventions (vertical and horizontal) among stakeholders to alleviate poverty, and food insecurity. These ideas ought to be localised to manage cost, expectations and sustainability of projects in the urban setting (Ruel *et al.*, 2000). In Zambia, the poverty level is still being measured using the absolute and moderate method. The absolute method pegs extreme poverty at having less than or equals to ( $\leq$ ) seven dollars and moderate poverty at  $\geq 7 \leq 10$  dollars for variety of food purchase per month (Mulenga, 2003). This level of income is insufficient to sustain a good standard of living.

Poverty is a relative term (UN-Habitat, 2003) and contrary to the belief that slum dwellers may be lazy and may prefer to remain in poverty, many slums dwellers in Zambia are engaged in one form of work “piecework” or the other, while others are jobless or incapable of taking up employment (Strobbe et al., 2013). The UN-Habitat urban profiling framework being compiled with more than 20 African nations presents as a highly relevant approach with good potential, as it is structured towards urban poverty alleviation, designed to include multiple urban

stakeholders and tailored to national exigencies (UN-Habitat, 2007). However, the impact of this approach remains to be seen, and the limited scope of the project skeleton (governance, slums, gender and HIV/AIDS, and the environment) is a concern, including benchmarks deployed to measure satisfaction and challenges raised by the urban poor.

Slums appear to be focal locations for crime and recruitment into criminal activities. This often exposes children living in slums to illicit trades and may indirectly create communities or urban spaces where heightened security measures are necessary (Caldeira, 1996). The lack of appropriate skills required for job opportunities may drive some inhabitants into illegitimate careers and the neglect of poor communities such as observed in slum settlements could result into a breakdown in youth motivation towards seeking education or employment (Sherman et al., 1998). The communities whose inhabitants are exposed to various forms of criminality are more likely to engage in drug usage, high alcohol consumption and lack of respect for infrastructure and delinquency among youths. This may not be uncommon as slum is an area with social and economic inequalities – ‘high numbers of broken homes, high unemployment, and economic, physical and social exclusion (UN-Habitat, 2003).’ The UN office on Drugs and Crime report for 2013, linked crime to spatial occurrence’s (for example gated housing schemes) in many African urban areas, more effort may be required in inclusion and sustainability in the region (Mususa & Rodrigues, 2017).

#### **4.4.5 Climate Change**

The impact of climate change on society, socio-economic development and orderliness in ecosystems may be colossal if adequate measures are not put in place to combat the concerns posed by negative climatic conditions (Müller et al., 2014). Climate change as defined by UNFCCC (no date) is “a change of climate that is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and that is in addition to natural climate variability observed over comparable time periods”. This global trend will have a huge effect on “food security, water, changing patterns of diseases, shelter, human settlements, population growth and migration,” (Costello et al., 2009). This undesirable change in climate was observed by Müller et al., (2014) to mostly affect densely populated areas and ones with abnormal rates of poverty. Kula, Haines and Fryatt (2013) in their contribution narrowed climate change to impact more on emerging economies often predisposed to fragile institutions slow to implement adaptive measures. Based on a report by Boyd and Ghosh (2013), sub-Saharan Africa is one of the areas most affected by climate change, the externalities of which

are often noticeable in urban poor areas or slums and believed to affect women more than men. Climate change as construed by Kempe (2009) will mostly inconvenience poor people and intensify poverty levels among urban underprivileged.

The population of sub-Saharan Africa by 2030 will be nearing the one billion mark (over 70% of urban inhabitants live in slums) (Ramin, 2009), coincidentally this percentage is equivalent to the number of slum inhabitants recorded worldwide and is forecasted to rise. Compared to developed nations, Douglas et al., (2008) noted that the African continent is low on activities believed to contribute to climate change, yet it bears the greater brunt of its negative effects. This view is echoed by Kula, Haines and Fryatt (2013) who stated that sub-Saharan Africa accounts for one of the lowest inputs to greenhouse gas emission (CO<sub>2</sub>, ozone, methane and nitrous oxide, due to their low level of industrial activities Costello et al., (2009). This statement was buttressed by Steady (2014) quoting a figure of less than 4 per cent greenhouse gases discharged by Sub-Saharan African countries. However, the region is more likely to be vulnerable to negative effects of climate change (Costello *et al.*, 2009; Kula, Haines and Fryatt 2013). Müller et al., (2014) revealed that the heterogeneity of climate could further have direct and indirect impacts on for example, reduction in household revenue, food security and the environment, and emphasised the need for proper management and making provision for adequate infrastructure against these challenges.

Kula, Haines and Fryatt (2013) recognised a wide range of sectors, from water/sanitation to agriculture that could be worse off due to climate change, these sectors are intertwined in relation to one another, which may make the call for urgent implementation of adaptation strategies in sub-Saharan Africa acute. Müller et al., (2014) highlighted the occurrence of flooding, drought, low agricultural produce, unbalanced ecosystem and reduction of freshwaters in sub-Saharan Africa as some of the biosphere elements being impacted as a consequence of climatic changes and fuelling in-migration. As Ramin (2009) posits, the phenomena of climate change and urbanisation are anticipated to converge, as urban areas seem to be continuously exposed to many environmental and life-threatening challenges. Evidenced by climatic events of flooding for example, “climate change is associated with more extreme precipitation events and rising sea-levels” and urbanisation “creates flood-prone conditions”, this view was supported by Douglas et al., (2008) citing the building of water passages in urban areas contradicting the natural flow of water during rainfall and the construction of buildings for commercial and household usage and motor ways, which may further worsen challenges

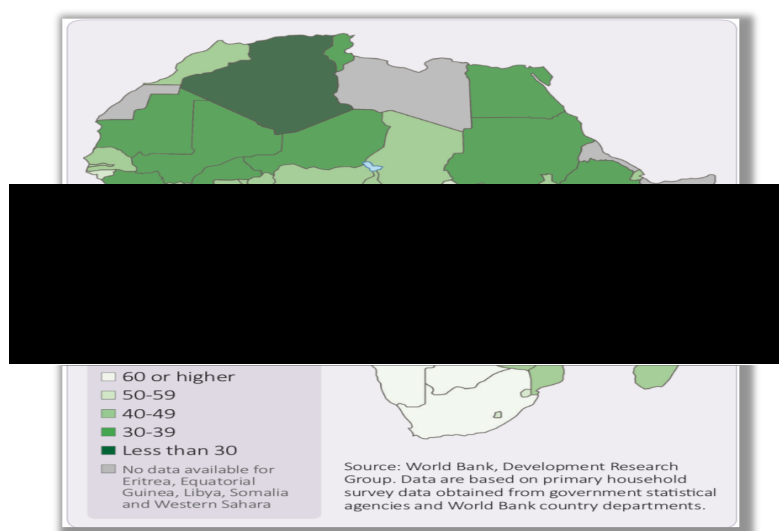
faced by the urban poor and could raise critical environmental issues. Boyd and Ghosh (2013) in responding to challenges posed by climate change opt for a transformation approach (adaptation and mitigation – urban level) and the use of inward-looking strategies.

Adaptation showcases the need for the robust response from urban stakeholders to collaborate in predicting climatic change and finding culprits in the climatic change (Boyd & Ghosh, 2013). Folke (cited in Boyd & Ghosh, 2013) defined transformation as metamorphosis of a system, while retaining its original arrangement. Müller et al., (2014) in their analysis of the impact of climate change recognise the need for different authorities to work together and formulate a working framework (research community and policy makers) and stress the importance of incorporating climate change into any adaptation and development blueprint. Costello et al., (2009) highlights numerous ways of minimising the dangers of climate change, which include “carbon capture, carbon taxes, deforestation, technology transfer and adaptation,” but recognised the limitations in the use of adaptation approaches and believes that alleviating poverty plays a significant role in buffering the urban poor from the dangers of climate change. Worth noting, is the advancement that seems to have been made in the areas of food security, reducing water stress, sanitation, population and migration (Costello et al., 2009). In their research findings Müller et al., (2014) identify Zambia and many of Africa’s landlocked countries as “hotspots - regions in need of adaptation planning”, although this statement may require further examination.

Urban settlements are vulnerable to climate change due to the risk of increased rural-urban migration associated with the phenomenon and inefficient infrastructure. Disproportionate vulnerabilities are experienced by girls and women living in slums attributing to time violations culminating in various capacity building and gender inequality issues (Kher, Aggarwal and Punhani 2015). This observation was supported by Nhamo (2014), covering the marginalization of women in climate change debates with emphasis on gender mainstreaming (policies to ensure women are given a voice on issues of climate change). The effect of time violation from water collection for example, which in sub-Saharan Africa is close to 40 billion hours annually is a disparity often reflected in girls’ poor school attendance level and well-being (Kher, Aggarwal and Punhani 2015), and could be contributing to the higher illiteracy rates amongst women as reported by Nhamo (2014). The position women and girls occupy in slum households as noted by Kher, Aggarwal and Punhani (2015) and Nhamo (2014) reveals further challenges faced by females in slums, coupled with societal, environmental and

community demands placed on women, connected with provision of water, raising of children, maintaining household hygiene (including those of children) and sanitation, that place further restrictions on girls and women's mobility.

The account and treatment of men and women in climate change discussion appears to be dissimilar and the impact of climate change varies from one country to the other as observed by (Jaggernath, 2014). Nhamo (2014) suggests that climate change exacerbates the vulnerability of women in coping with conditions linked to continual environmental changes around them (i.e., increase in temperature, low rainfall, water scarcity), their role in the community, household, and agricultural contribution are often overlooked, confining services, coaching and opportunities available to them. According to FAO (2018) women in Zambia constitute over approximately 80 per cent of agricultural workforce. Jaggernath (2014) noticed that many of the conflicts in Africa, such as Darfur, Sudan and Lendu, Uganda, seem to have begun due to the worsening effect of climate change on essential commodities as various communities fought over limited resources, which may further increase the vulnerability of women in managing and defending themselves against environmentally induced uncertainties and conflicts. Other dynamics identified as impacting gender equality include land ownership and political influence (Moodley, Gahima and Munien 2010) and the rise in the rate of HIV/AIDS reported among women recognised by Nhamo (2014).



**Figure 14:** GINI Index among African countries. Source: Mususa and Rodriguez (2017)



The Gini index (Gini coefficient) above reveals a higher level of inequalities in Zambia (60 or higher). The Gini index is one of the most commonly used measurements of inequality worldwide and ranges from 0 to 100, with zero being the most equal society.

Considering the impact of climatic change on women living in slums and the influence women command as major custodians of resources in many parts of Africa, addressing the phenomenon is essential to development (Steady, 2014). Omolo (2011) reflected on some of the coping and adaptation strategies being deployed, such as “changes in cropping periods, intercropping, use of indigenous knowledge to respond to disease and outbreaks among people, crops and livestock, land reclamation and enhancement, water harvesting and storage, food and fodder foraging, temporary or permanent migration, diversification in household income sources, creation of gender-sensitive safety nets”. Kher, Aggarwal and Punhani (2015) argue that women and girls remain vulnerable, and the ones mostly affected and ill equipped or less likely adapt to challenges of slum and climate change and should perhaps be the gender group equipped through assistance from responsible supporters to respond to such changes based on their position in society.

Without appropriate response from all concerned, women and girls in slums stand at a crossroad, often impeded by skills gaps for job acquisition, contributing to by falling behind in education attainment and diminished income based on capabilities. The effect of climate change may complicate the few chances women have in sustaining a livelihood and could test their resolve as a major participant in mitigation against climate change, which was described as “policies and measures designed to reduce greenhouse gases and enhance carbon sinks” (Steady, 2014). For any future intervention to be effective in addressing the issues raised by slum and the circumstances allied to the proliferation of slums it ought to consider the impact of climate change, although further research is required in linking climate change and slum development (Ramin, 2009).

#### **4.4.6 Security of Tenure**

Land tenure has been recognised by organisations working in slums as one of the most important aspects of slum housing regularisation and key factor in the squalid conditions. The security of this tenure is required to accord ownership to a piece of land or space. This demands a proof of ownership, legally binding and signed by both parties involved in the demand and

supply of such a space. Many slum dwellers require of security of land tenure and lack such agreements issued by the government, as the land they occupy is either privately or publicly owned and often illegally occupied. Insecurity of tenure puts protection of property in slums at risk and could be contributing to the squalid nature of slums, as many inhabitants may be resentful of where they live and lack the impetus to subscribe to its progress and development. Land tenure 'refers to the rights of individuals or groups in relation to land' (UN-Habitat, 2003), while 'a person or household can be said to have secure tenure when they are protected from involuntary removal from their land or residence, except in exceptional circumstances, and then only by means of a known and agreed legal procedure, which must itself be objective, equally applicable, contestable and independent. Such exceptional circumstances might include situations where the physical safety of life and property is threatened, or where the persons to be evicted have themselves taken occupation of the property by force or intimidation' (UNCHS, 1999).

For slum sustainability to be achievable and to reduce the use of outdated slum eradication approaches, security of tenure may be the only fall back, as it safeguards against forced eviction and helps with 'stabilising communities; improving shelter conditions; encouraging investment in home-based activities that play a major role in poverty reduction; reducing social exclusion; and improving access to urban services (ibid)'. Although, the fight for right of ownership and security of tenure in slums may be appropriate, this does not eliminate the challenges of poverty facing multiple households in slum, which is equally important (UN-Habitat, 2003). Some of the primary factors effecting the process of slum eviction include:

- a) Length of occupation (older settlements enjoy a much better level of legitimacy and, thus, of protection than new settlements).
- b) Size of the settlement (small settlements are more vulnerable than those with a large population).
- c) Level and cohesion of community organization and,
- d) Support, which concerned communities may get from third-sector organizations, such as NGOs.

#### 4.4.7 Community capacity

To address the multiple global challenges of slums, multilateral agencies engaged in slums have over time concentrated on the effort to build capacity within slums, this may be because the gainful engagement of urban settlement inhabitants could be linked to the tools capable of alleviating poverty. Community Capacity according to Chaskin (2001) is defined as “the interaction of human capital, organisational resources, and social capital existing within a given community that can be leveraged to solve collective problems and improve or maintain the well-being of a given community. It may operate through informal social processes and / or organized effort”. The benefits of these interactions inherent to capacity building are also considered by Skinner (1997) and include community empowerment, personal development, training, equality with the resolve that all communities irrespective of their “nature have strengths and assets”. Organisations, including The World Bank, the United Nations, the European Unions and other bilateral, are amongst those who may have resolve that capacity building in slum settlements has the potential to address issues of poverty and inequalities that could partly tackle the root causes of slum formation. Some agencies such as Swedish International Development Cooperation Agency (SIDA), Denmark’s development Cooperation (DANIDA) and the German Agency for Technical Cooperation (GTZ) are working collaboratively on improving equality in slums especially as regards gender equality – ‘women’s access to land and housing programmes; their eligibility for relocation in slum upgrading and resettlement projects; their access to credit in slums; and the role of women in participatory slum- upgrading processes,’ (Lewis and Kanji, 2009). There is a need however for these organisations and agencies to collaborate in sharing knowledge, research findings and lesson learnt in past engagements, a trend that is becoming more evident. Bodies such as the International Research Group on Law and Urban Space and Link Environmental and Academic Research Network (LEARN), the Network Association of European Researchers on Urbanization in the South (N-AERUS) and Cities Alliance have been instrumental in this regards directed at policy recommendation and research led interventions (Lewis and Kanji, 2009).

An inhibitor recognised by agencies working in slums, is funding, sustainability of which calls for all organisations to work towards the goal of raising tangible capital adequate to meet the challenges of the urban setting. Securing funds will require the participation of the public, private and external sources. There are contrary opinions, on how to execute this prodigious

task, as fighting inequalities and poverty appears to contradict the normal economic trajectory of the financial institutions and other bodies which many of the organisations may ordinarily hoping to raise capital. Evident in places is a disconnect between many NGO's (especially among international NGO's) working in slums as funding is sourced independently and it is rare for two or more NGO's to work on same project, which could explain the duplication of some interventions which may prolong expected outcomes. The source of funding is crucial as it determines the nature of projects many NGO's are able to commit to. This undesirable situation appears to not only affect NGO's but also seems common amongst other slum stakeholders, which may explain why abject poverty and chronic food insecurity persist in slums as reported by some researchers. More research is needed to establish the mission and vision of NGO's and for governments of host countries to remain transparent and monitor activities of NGO's. A comprehensive framework may also be required to further analyse, synergized and integrate slum stakeholders.

#### **4.5 Barriers to sustainability and Tourism Growth Nexus**

Slum tourism as a form of sustainable tourism could spur the growth of economic activities in Kalingalinga slum settlements, but there are barriers that need to be overcome if the prosperity that tourism promises are to be realised. Promoting and implementing tourism whilst challenges persist delays the emergence of benefits. Understanding the root causes is imperative as it provides indicators of where to channel the derivatives of tourism and can influence political will to implement them. Poverty for example appears to be one of the greatest impediments to urban prosperity contributing to the emergence of slum settlements, from classical, neoclassical, liberal and radical perspectives (Davis and Sanchez-Martinez, 2015). Tourism, however, could also be a contributing factor to the occurrence of poverty with links to climatic conditions and a driver for tourist who visited slums (Frenzel *et al.*, 2015).

Conversely, tourism is instrumental in poverty alleviation and revenue generation for the poor due to its multiplier effect, job creation and ease of entry (Ashley, Roe and Goodwin, 2001). Tourism could also be used to address food insecurity and the plight of street children in slum settlements as informal jobs are created such as tour guides, artisans and local food vendors. Many slum dwellers do not own cars and contribute less pollutants to the atmosphere than their more affluent counterparts. This can be attributed to their earning power and concentration in specific locations. The nature of slum settlements particularly the limited resources may present an opportunity for the introduction to a greener economy as settlements evolve. Issues that

could be addressed include waste and space management, addressing these could lend to tourism sustainability. Slum settlements in Zambia have a lease of 30 years (Strobbe, Olivetti and Jacobson, 2013; UN-Habitat, 2003) when they are assessed by government agencies for consideration as a slum of hope or despair, this could present a challenge for the sustainability of tourism.

#### **4.6 Summary**

This chapter examined sustainability and its connection to the prosperity of cities. The challenges posed to creating sustainable and resilient cities by un-managed urbanisation and the proliferation of slums, is a concern and a reflection of policy inefficiencies and deep-seated inequalities present in society. Poverty is a characteristic that appears to be related to each of the identified challenges affecting slum dwellers. However, the urge to effect changes in slums irrespective of the level of substantiality or affinity, should be meticulously investigated and analysed, as the slum is a home to multiple stakeholders with varying interests and to do anything else risks unforeseen negative consequences.

The barriers to sustainability that arise alongside the proliferation of slums require consideration in the development of interventions such as slum tourism to build capacity towards alleviating poverty. Strategic partnerships and collaboration between stakeholders may aid the effectiveness of any programme aimed at improving the socio-economic profile of settlements and a necessary stage in achieving sustainability, with slum settlers playing a key role. Sustainability and the challenges of slums are however interlinked, as the prevalence of slum challenges presents an unsustainable environment which may hinder the propensity of urban communities to thrive.

The continuous change that occurs in cities demands solutions that are adaptable, responsive and sustainable, and take into account resources and the capacity of the environment to support them to secure futures. To create an inclusive sustainable environment, the slum settlements have to be treated as an equal partner in the creation of urban wealth and a force for change, through recognizing the potential of its inhabitants with the community striving towards a common goal and making contributions for achieving a self-organizing neighbourhood.

Chapter 5 considers the different associated theories likely to impact the viability of slum settlements and general tourism framework, to build a conceptual framework that reconciles

the multiple complex actors and theoretical standpoints which influence prosperity and action in slums.

## **5 TOWARDS CONSTRUCTING A CONCEPTUAL FRAMEWORK FOR SLUM TOURISM IN KALINGALINGA**

### **5.1 Introduction**

This chapter begins with the exploration of a sustainable framework for slum tourism development in Kalingalinga, building on Chapter 4. The concept of sustainability in informal settlements is essential as it strengthens the gains from capacity built in slum dwellers towards achieving urban prosperities and meaningful contributions to national development. The theoretical concepts underpinning the central themes for slum viability are explored in this chapter such as poverty and economic theories, as they represent a crucial nexus to the perception and context of informal settlements. The elements observed in various slum tourism models are investigated to conceptualize a framework for slum tourism in Lusaka, Zambia. Thus, setting the tone for discussion of the theories of poverty, tourism and economics and current tourism frameworks. Review of the standard slum framework exposed the need to consider slum from a resource and sustainability viewpoint to derive optimum potential and to recognise potential challenges associated with interventions such as slum tourism. The proposed framework makes navigating Kalingalinga settlement reasonably attractive to explore and interact with, as key indicators in slums are highlighted and simplified.

#### **5.1.1 Seeking a conceptual framework for slum tourism in Zambia**

The remainder of this chapter brings together theories into a conceptual framework of slum tourism to be added to by field research in Kalingalinga. As described in Section 3.5, the theories and frameworks behind how slum tourism is being delivered in different parts of the world seem to have similarities as most include the elements of marketing, a product, stakeholders, and activities. While these elements are very important, the impact of poverty, capacity building, perceptions, socio-economic activities and negative opportunities play a significant role in slum tourism as shown in Section 4.4. This is particularly true in understanding the types of markets and products the slum dwellers are capable of showcasing, and the limitations in the varieties of products. The main requirements for mass tourism such as travel links, marketable activities and attractions may not be actualized if the impact of poverty and inadequate capacity are not addressed as discussed in Section 3.3.1. The perceptions of Kalingalinga settlement also affect the disposition of tourists and level of poverty, which suggests that place branding also has a function to play in slum tourism.

As tourists travel to destinations for various reasons including ecotourism, religious tourism, educational tourism and slum tourism, there appears to be a need to understand the attraction to assess the viability of any new venture. The motivation for slum tourism appears homogenous, to a degree, across sites, as slum settlements may not primarily be set up as attractions. The definition of tourism has been described as multifaceted due to the varied intentions of tourists, for example, some travel as a form of relaxation, some pleasure, and others for work and education. The notion of tourism has been identified by many researchers as being a discipline complex to define, perhaps due to its various economic, cultural, social and environmental elements, the variety of stakeholders involved in its delivery and production, and the strong associations with other fields of study such as anthropology, geography, leisure and recreation and sociology (David A Fennell, 1999; Holden, 2000).

The World Tourism Organisation (WTO) considered tourism as ‘the activities of persons travelling to and staying in places outside their usual environment for not more than one consecutive year for leisure, business and other purposes,’ (Youell, 1998). This definition points out that tourism may have a significant impact on host communities including exploitation or consumption of host resources (Holden, 2000). By extension, Holden (2000) noticed that tourism could also be ‘something that is tolerated or even forced upon communities as opposed to being welcomed’. For tourism to be viable, four key factors are considered integral to responsible tourism delivery, they include tourists having access to:

- Market (reaching the marketplace)
- Travel (the purchase of travel products),
- Destination (the shape of travel demand) and
- Marketing (the selling of travel) (David A Fennell, 1999)

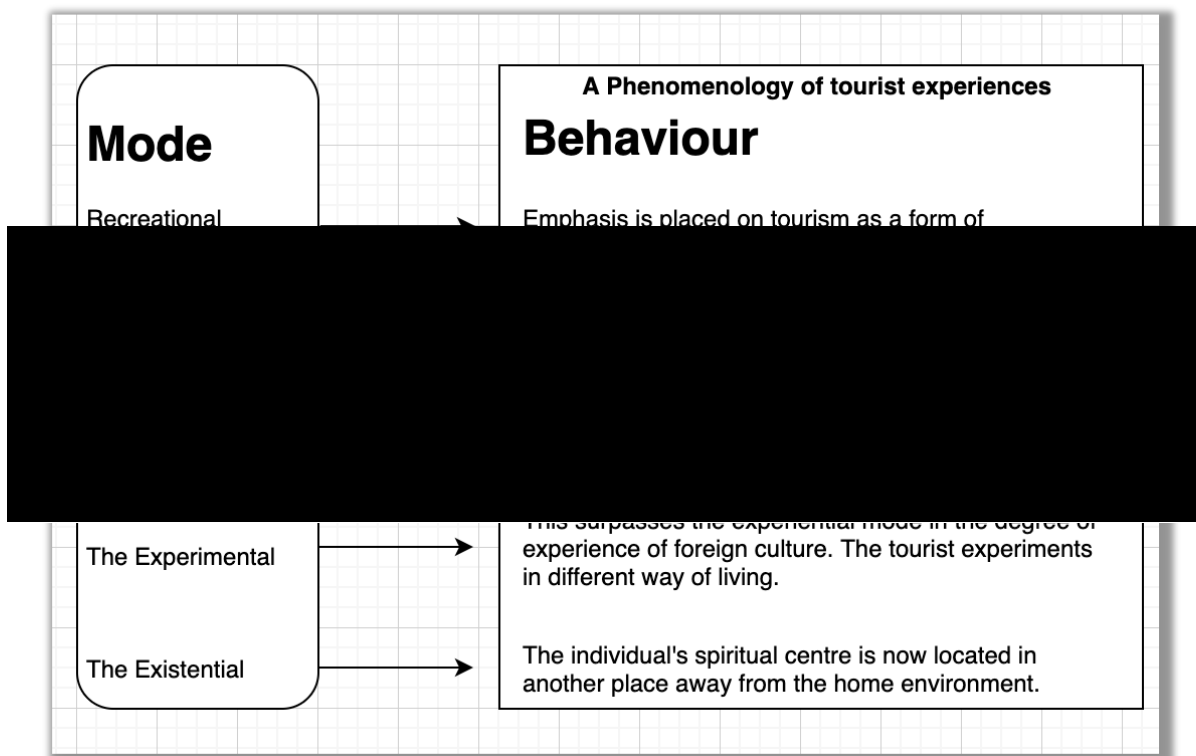
### **5.1.2 The benefits of tourism to economic development**

The principles of tourism have also been observed to ‘contribute to the image or perception of an area, create a national identity, promote regional prosperity, improve quality of life, promote cultures and peace and human understanding’ – (Youell, 1998). Some of these potential benefits were recognized by (Holden, 2000) when referring to the city of Baltimore in the United States of America and Liverpool in the United Kingdom as examples of places that have undergone rejuvenation or transformation due to the introduction of tourism by policy makers.



The tourism sector contributes significantly to many country's GDP, mass tourism, which is linked to the 'Fordist production' period appears to play a part in the commodification of tourism, which involves regulation of tourism packages and leveraging on price (Holden, 2000). The mass tourism concept seems to create some challenges within the host nation, contributing to different environmental concerns.

The phenomenon of tourist attractions, often classified as natural or man-made, appears to play a critical role in the delivery of tourism in any host community as they are the principal reason why people travel to various destinations. There is a broad spectrum of motivation behind tourist travels, identifying these attractions is complex as many factors interplay in the tourism decision making process. As (Youell, 1998) noted, an attraction may not only be a constitute of historical or natural features of a location but could also be associated with the general impression of the host community. The figure below summarises some tourist motivations identified by Cohen (1979) that influence tourist travel decisions.



**Figure 15:** A phenomenology of tourist experiences. Source: Cohen (1979).

The needs of tourists can also be captured in the Maslow's hierarchy of needs and Herzberg's theory of motivation, with factors such as self-actualization, esteem, belonging and love among others reflected as possible attractions to tourist choice of destinations.

Tourism Attractions as observed could be classified into three categories (David A Fennell, 1999):

- Ideographic: Describes the concrete uniqueness of a site. This is most frequent form of attraction studied in tourism research
- Organisational: The focus is not on the attractions themselves, but rather on their spatial, capacity, and temporal nature.
- Cognitive: A place that fosters the feeling of being a tourist.

Other researchers categorise tourism based on three elements: 'a person with touristic needs, a nucleus (any feature of a place they might visit) and at least one marker (information about the nucleus),' (Leiper, cited in Fennell, 1999).

A recent review of tourism motivation by Bire, Conterius and Nasar, (2021) revealed wide-ranging interests tourist engage in, which makes the tourism sector both alluring and complex. The authors emphasise five major motivating factors that tourists consider when choosing destinations of interest. First factor is the physiological where tourists consider the personal benefits associated with a place. The safety motivation was also rated high where tourists consider protection of self and property including general perception of the level of safety a space offers. The other factors include social motivation which includes visiting friends and family or meeting work partners, pilgrimage or escape from routines, then self-esteem which as motivational factor for tourism also discussed which suggest trends or reviews of a specific destination and lastly self-actualisation factor where tourist could realise the need for personal growth and self-fulfilment. In satisfying the motivations of the tourist the likelihood of repeat custom is increased and preference of destination strengthens, positive reviews can act as a promotion tool bringing in new tourists.

### **5.1.3 Critical views of tourism**

There is the call in some sectors to control mass tourism due to its impact on host countries and the environment and researchers believe that the environmental impact of tourism on

communities should be reviewed. This can be achieved through Environmental Impact Analysis (EIA), which as observed by Holden (2000) is designed to capture ‘predicted effects of development upon environment and providing decision makers with information on the likely consequences of their decision to proceed with a development’. Some of the sectors within the tourism industry identified by Holden to benefit from the implementation of EIA include hotel and general places of touristic interest such as historical sites in host nation, there are some concerns associated with the introduction of EIA in tourism, which include cost of implementation and the scope of projects that may warrant carrying out EIA assessment (Holden, 2000).

Another useful environmental mitigation that could be useful in minimising the impact of tourism to slum settlements is zoning, which could allow for strategic planning and minimising the effects of slum tourism to enhance protection of the settlement as an urban resource, this, however, opens the debate on the need for protection or demolition of slums. The WTO in their analysis of protected areas concede that ‘protected areas can be divided into zones of strict protection (a sanctuary zone where people are excluded), wilderness (where people are permitted only on foot), tourism (where visitors are encouraged in various compatible ways), and development where facilities are concentrated,’ (WTO, cited in Holden, 2000). Zoning is a ‘land management strategy that can be applied on different spatial scales, for instance within a protected area, or at a regional and even national level,’ (Holden, 2000). Theories underpinning the main concepts to be considered in the construction of the conceptual framework will now be explored.

## **5.2 The Theoretical Context for Slum Viability**

Theories relating to the central themes of this research (Poverty, pro-poor tourism and economic theory) are presented here to guide the design of the contextual framework.

### **5.2.1 Poverty Theories**

This section presents the different schools of thought on poverty and how these may be adopted to explain the situation and, if possible, inspire social inclusion in Kalingalinga slum settlement. The impact of poverty on slum inhabitants is significant and addressing the associated challenges requires a deep understanding of both local and international concepts of

how poverty presents in its complex and dynamic nature as explored in Section 4.4.4. The theories discussed in this Section portray different views, no one theory supersedes the other considering the multifaceted and changeable constitution of poverty and how it appears in urban society or is recognised by individuals. The poverty theories reviewed include classical, social exclusion and social capital theories, which presents a widespread sample of lenses and changes in the narrative on associating poverty purely to money, politics and social factors. The varying theories and characteristics of poverty indicate that a tailored approach may be required.

There have been various definitions, suggested by institutions and researchers, of what factors constitute poverty, including social, economic, illiteracy, diseases, malnutrition, human decency and how it should be addressed (Davis and Sanchez-Martinez, 2015). These features are linked to whether poverty should be reviewed from either an absolute or relative perspective (see section 4.4.4). There are different views between developed and developing nations on which perspective is relevant, poverty is often considered from an absolute point of view in many developing countries including sub-Saharan African countries such as Zambia.

Poverty is "the inability to purchase necessities required by nature or custom" (Smith, cited in Davis and Sanchez-Martinez, 2015). This definition gives credit to the social (custom/relative) and economic (nature/absolute) elements of poverty and suggests that the shame and stigmatisation experienced by people who are poor is largely as a function of their social experience. The stance on the relative view of poverty was supported by Karl Max who stated that "our needs and enjoyments spring from society," (Wood, 1988). This statement poses a strong argument for the review of poverty in sub-Saharan Africa, both from a social and capacity perspective, a line of thought supported by Sen (1983), who observed limitation in the definition. Sen defines poverty as "an absolute notion in the space of capabilities but very often it will take a relative form in the space of commodities or characteristics". The capabilities include having access to education, employment, skills, healthcare and freedom for a good standard of living. Sen's definition while valid is not without criticism. Further input from Seymour (2009) associates poverty with relative measures and define poverty as "the lack of the resources necessary to permit participation in the activities, customs and diets commonly approved by society" and "resources are so seriously below those commanded by the average individual or family that they are, in effect, excluded from ordinary living patterns, customs and activities." The definitions above reveal that the concept of poverty is difficult to evaluate,

considering the World Development Report which also associated poverty with “poor access to clean water and sanitation, inadequate physical security, lack of political voice and insufficient capacity and opportunity to better one’s life,” (WDR, 2003). The different types of poverty are reviewed based on below theories:

### ***Classical Theory***

The classical theory of poverty is thought to have been developed between the 18th and 19th centuries and rests on the assumption that value and distribution have a role to play in the allocation of wealth, hence contribute to discussions on how poverty is perceived. Poverty according to the classical theorist is man-made, created as a result of choices made by individuals, which often reflects a non-positive effect on economic productivity (Davis and Sanchez-Martinez, 2015). These choices, sometimes made out of poor judgement by individuals, can be aided by the presence of supportive welfare system that is sometimes prone to abuse that can exacerbate the cycle of poverty, according to classical theorist. This can contribute to more citizens falling into poverty and failing to contribute economically (laissez-faire principle) to the forces of production, which suggests that without individual contribution there could not be salary or wages needed for sustenance (Esping-Andersen, 1990) and a means out of poverty.

This contribution is needed for the nation to sustain growth, to encourage people to work and as a means to assist the vulnerable within society (Davis and Sanchez-Martinez, 2015). Further summations of the classical theory according to (Rank et al., 2003) reflect the lack of skills, education and drive for competitiveness among people who choose to be poor. This theory suggests that Kalingalinga slum inhabitants are trapped in poverty as a result of the decisions they have made, and they are responsible for the conditions they find themselves in rather than it being a consequence of market or government failures. Therefore, many slum dwellers contribute immensely to the poverty predicament and potentially as the last resort rely on the sympathy and generosity of civil society (Blank, 2003). This participation in the cycle of poverty could also be a behaviour issue passed from one generation to another “subculture of poverty,” (ibid). Changing the status quo according to researchers such as Kasarda and Ting, (Davis and Sanchez-Martinez, 2015) requires a restructuring of the housing sector, increase of wages and provision of training towards gainful employment. However, this approach appears to contradict the suggestions proposed by the neoclassical, Keynesian and Marxian theorists.

It also comes under heavy criticism of bias towards emerging economies and a dearth of research (ibid).

### *Neoclassical Theory*

The neoclassical theorist, contrary to the classical view, strongly leans on the theory that the market plays a significant role in the construction of poverty within society, as factors such as “skills and talents” are unequally distributed and often the capital to secure them (Davis and Sanchez-Martinez, 2015). This line of argument was supported by other researchers who concur with the idea that the challenges and circumstances mostly affecting the poor involve their being unequipped to manage market stress, uncertainty and shock (E. P Davis, 2007). Neoclassical theory further proffers that the moral hazard unaccounted for in the social dialogue on pre-causes of poverty is unaccounted for by policy makers, such as in places like Kalingalinga slum settlements where gentrification, stigmatisation, political influences and informal markets (e.g. loan sharks) sometimes goes unchecked and plays a key role in the overall construct of what constitutes the living standard in the community (Banerjee, 2011).

Alleviating poverty within the settlement may not be a priority according to the neoclassical followers, whose ideas of poverty reduction are linked with the supreme goal of maximising “efficiency of resource allocation” across the population, counter to equality that could be created from eradicating abject poverty (Davis and Sanchez-Martinez, 2015). The effort to alleviate poverty according to (Bhalla, 2002) should be focused on income generation, which in regard to the focus of this case study gives the slum settlers the resource power to partly address some of the inequality experienced by informal settlers within the community. However, Laderchi, Saith and Stewart (2003) and Ulimwengu (2008) question whether income generation is sufficient as a poverty alleviation mechanism and suggested that the transient elements of poverty, vulnerability and social aspects of poverty be equally considered in decision making.

Kalingalinga slum settlement is a social community and income generation as a potential intervention in poverty alleviation takes an individualistic point of view contrary to a social stand. The need to invest in microcredit finance schemes within the settlement could serve the community more (majority of slum dwellers are involved in informal business), as many dwellers are often discriminated against by the financial market, labour market, life insurance

and more (Davis and Sanchez-Martinez, 2015). The scheme should be complemented with input from the government that includes investment in slum settlers behavioural change, encouragement of small-scale enterprises, and radical and functional change in policy (slum dwellers often engaged in many trade-offs, lack of access to information etc.) to maximise the effectiveness of the scheme (Banerjee, 2011). This however does not dismiss the other difficulties in starting a business for slum dwellers, such as having the right skills which affects many in later employment opportunities but does not suggest that slum settlements are places without entrepreneurial development (Davis and Sanchez-Martinez, 2015).

### ***Keynesian/Liberal Theory***

Keynesian theory partly supports the same line of argument as that of neoclassical theorists but adds that while the market may play a crucial role in poverty, factors of underdevelopment (such as poor capacity building, infrastructural lapses, social insecurity etc.) also have a huge influence on poverty (Davis and Sanchez-Martinez, 2015). This appears likely considering the lack of infrastructure in Kalingalinga and the associated poverty many inhabitants consider a result of the limited opportunities and resources endured. Investment and focus in the development of human capital is considered by the liberal theorist to be one of the most important elements considered for growth and poverty alleviation (Jung & Smith, 2007) that could consequently encourage economic activities, private capital investment and help ease the challenges of poverty (Davis and Sanchez-Martinez, 2015).

Davis and Sanchez-Martinez (2015) added that “if entrepreneurial investment is low, in turn it raises unemployment and poverty rates among suppliers of labour” and also suggested the need to build in sustainability from the onset to achieve poverty decline and instil a growth mindset. The liberal theorist has the view that the government has a role to play in poverty eradication, contrary to the views of the classical and neoclassical theorist. Any investment such as the provision of quality education for the improvement in human capital investment, for example, is an intervention that could encourage economic that should be coupled with the infrastructural development of Kalingalinga, which is one of the responsibilities of the Zambian national government.

### ***Marxian/Radical Theory***

The Marxian theory of poverty places the blame for poverty on capitalism and infers social divides are created as a result of how societies are structured (Davis and Sanchez-Martinez, 2015). They argue that the capitalist strategically influences the market to keep the cost of labour lower than its true worth, to maintain control over poverty (ibid). Blank (2003) suggested that to review the procedure on how markets are controlled, the state of working and benefits of labour should be commensurate with living standards, necessary for addressing the challenges of poverty, other factors identified by Kyzyma (2014) include the factor of unionization. Although, some researchers such as (Neumark & Wascher, 2002) suggest otherwise. By implication there appears to be reason to put in place anti-discrimination and employment laws to mitigate against the potential effects of the capitalist system on people in poverty as noted by (Davis and Sanchez-Martinez, 2015). Marxian theory as regards slum inhabitants indicates that they, who are often considered as poor and disadvantaged, should be the priority of the policy makers and investment in their education should be a main part of the process (ibid). Also important in this reduction in slum poverty among inhabitants is the balance between investment in slum settlements and maintaining the slum environment, this debate on the links between the environment and poverty were investigated by many researchers including (Dasgupta et al., 2005; Dixon, 1994; Duraiappah, 1998).

The different theories on poverty and its characteristics reveal the complexity that surrounds poverty alleviation and could go some way in answering questions raised in previous chapters regarding the effectiveness of the past interventions of governments and development agencies. Making the case for multi-pronged interventions, collaboration and participation, especially of stakeholders who have expert knowledge of the settlements, which begins with the slum dwellers who should be supported by professionals to develop and implement effective strategies. Basing interventions on Keynesian theory may be best suited to the remit of securing net benefits for the poor, in acknowledging the place of skills and talents in securing better incomes and the role of poor infrastructure it reflects conditions that appear prevalent in slum settlements.



### **5.2.2 Pro-Poor Tourism (PPT) Theory**

The theories guiding PPT evolved from different school of thoughts starting with modernisation theory, which in the 1950s considered tourism as a positive injection to development in emerging economies, the political economy theory acknowledged the contrary, that tourism should focus on the essence of traditional establishment, other theories include Neo-Marxist and alternative theories (such as eco-tourism and pro-poor growth). This study therefore reviews some of these theories and the drivers of PPT, including institutions where the approach has been successfully applied. The study looks at PPT theory, historical and academic perspectives on tourism impact and also reviews theories on modernisation, dependency.

The challenges of poverty in pro-poor dialogue has been at the centre of world debate for some time and has led international organisations such as the United Nations and multinational organisations to begin to pay attention (UN, 2014). The proposed integration of the tourism sector was frowned upon initially due to the disjointed viewpoints of tourism stakeholders as tourism was originally conceptualised to source for tourism investment from the rich, which put them first in terms of tourism benefit (Christie et al., 2014). This misalliance between poverty and tourism mostly benefits the rich (or benefits the rich first) and is not designed to serve the poor - Trickle down or vertical (Kakwani & Pernia, 2000). The 1992 Earth Summit in Rio became the first major platform to announce that tourism should drive poverty alleviation, which later launched the Pro-poor development period (Goodwin et al., 2004) .

There have been various interventions employed by policy makers and institutions such as UN-Habitat (see literature review) to eradicate poverty and boost socio-economic benefit to the poor, these strategies seem not to have been very effective in many of the slum settlements in which they have been deployed and appear to not have been appropriately designed to contribute to poverty alleviation in urban settlements. The need for alternative interventions that directly address the needs of the poor seems necessary. Pro-poor tourism strategy was explored in this research, because it is an approach designed to “increase net benefits for the poor from tourism and ensure that tourism growth contributes to poverty reduction”, even if the approach benefits the rich more than the poor (Ashley et al., 2001). The adoption of PPT

allows the poor to actively participate in product development and bring about a decline in poverty (Pro Poor Tourism, 2017).

The links between PPT and impact on poverty often raise the questions of how to monitor or measure PPT progress and success rate on poverty reduction. PPT was broadly classified as an interventionist approach specifically formulated with poverty in mind, beyond the vertical construct of tourism (Önez Çetin & Özgür, 2012). PPT is a project funded by the Department for International Development, UK (DFID) with the deliberate intervention of annexing the potential tourism could have on poor people of the South (J Mitchell, 2019). This work would not be possible without the collaboration of partners aside from the Overseas Development Institute (ODI) such as the International Centre for Responsible Tourism (ICRT), the International Institute for Environment (IIED), who also played a key role in the co-construct of the PPT approach (ÇETİN and ÖZGÜR, 2012).

The concept of PPT although similar to many sustainable tourism agendas such as eco-tourism and other environmentally induced tourism agendas, has a different approach and focus, as the priority of PPT is poverty eradication and incorporates unlocking the untapped opportunities (economic, cultural, environmental and social) of tourism for the poor (Chambers & Conway, 1992; Holden & Novelli, 2011). Sustainable tourism according to Tribe (2005) reflects tourism devoid of taking advantage of host nations natural resources and capable of leading to frustration among citizens. Sustainable tourism development is seen by the WTO as “leading to management of all resources in such a way that economic, social and aesthetic needs can be fulfilled while maintaining cultural integrity, essential ecological processes, biological diversity and life support systems,” (Tsaur & Wang, 2007). The need for tourism to be at the centre of slum settlement arises due to the impact tourism continues to have on people living in poor countries, especially those of sub-Saharan African and the notion that traditional tourism often did not reflect poverty relief in its delivery.

For tourism to address poverty in slum settlements, key functions of the tourism sector should be reviewed. These areas include sections that promote enterprise, develop local capacity, marketing, provide employment opportunities and tourism stakeholders both at the private and public level, with the latter having the power to influence policy direction and decisions. The opportunities that PPT generates indicates potentially valuable contributions to socio-cultural and economic profiles of slum dwellers, but the approach is still considered not robust enough to address some of these global challenges as reported by Ashley, Roe and Goodwin (2001),

who note that PPT is generally ‘untested’, relies heavily on tourism stakeholder participation, is dependent on new narratives based on cultures, requires long term investment, ignores relative distribution of PPT opportunities and may not be the absolute panacea to poverty alleviation in slum settlements, due to factors such as scope of PPT enterprises in many of these communities. Further statements by the team on tourism strategy suggest a “shift in focus from environment to poverty and from Northern to Southern destinations and that social issues are often weak within sustainable tourism initiatives”. These statements established a reasonable frame to suggest the existence of nexus between PPT strategies and poverty alleviation, which could be exploited in addressing some of the challenges raised in slum settlements. The research, however, was not designed to explore these possible links in detail, rather it traverses the strength of the PPT approach (tourism relevant to pro-poor growth) and the weakness of slum eradication strategies, and tailors them towards achieving a sustainable and prosperous urban settlement.

### ***Historical Perspectives***

The challenges of PPT as reported by Mitchell (2019) started between the 60’s and 70’s, when the debate of what tourism impacts may arise. Some researchers assumed that increases in tourism activities could have the propensity to breed development, while others in the 70’s opposed the argument. One of the initial challenges raised by the introduction of PPT was it's being portrayed as an approach rather than a theory (Harrison, 2008; Truong, 2014) and its link by some researchers to free-market capitalism, which opposes the PPT goal of poverty alleviation (Schilcher, 2007). The neo-liberal believed that PPT was designed as an act against the Structural Adjustment Programme (SAP), which was an economic policy based on loans and repayments for developing countries supported by IMF and World Bank (Önez Çetin & Özgür, 2012). This could be because SAP enforces privatisation and deregulation, which reduces powers of poor countries to compete economically. Although, many researchers debunked the neo-liberalism links with PPT (Harrison, 2015; Truong, 2014). Questions of why PPT was not widely adopted as a strategy for economic development of the poor still linger (Scheyvens, 2009; Schilcher, 2007).

Intervention by UNICEF saw the introduction of “Adjustments with a Human Face”, which brought the introduction of poverty into the mix, supported by the World Bank and UNDP.

This sparked a rethink of SAP programme to PRSP's (Poverty Reduction Strategy Papers) by the IMF, which was a substituted approach with limited economic value, although failure of PRSP was attached to the ineptitude of developing countries to reform (Önez Çetin & Özgür, 2012). However, development was tagged as the main theme in the newly introduced PRSP programme in tourism adopted by developing countries who implemented PPT as a vehicle to promote poverty, and pro-poor elements of tourism were not overwhelmingly acknowledged (Goodwin et al., 2004). The challenges of how to balance inequalities and the growth of tourism is widely debated among researchers as is the reality that a decrease in inequality may not proportionally contribute to decrease in poverty among the poor (J Mitchell, 2019). These concerns also have an effect on the poor's ability to engage with the business world (F. Thomas, 2014), which transcends into their engagement with the tourism sector (Stoian et al., 2012).

### *Academic Perspectives*

There has been a debate for nearly 50 years (1950 - 2000) of how to establish a theoretical linkage between tourism and poverty alleviation among many researchers and finding the right explanation for these two disjointed structures has often been challenging and complex (ÇETİN and ÖZGÜR, 2012). A considerable challenge with academics accepting PPT was that tourism and development have been viewed as separate entities, so PPT seems alien to how tourism practices were earlier conceived (Shen et al., 2008). The disparity in different researchers view on how PPT should be received is a major determiner in PPT adoption to generate benefits for the poor (Mitchell and Ashley, 2010). The use of the word "poor" to generalise a set of people in the construction of PPT was also construed as being paternalistic and anthropocentric by some researchers, this often symbolises how PPT was welcomed globally (Richard Butler et al., 2013). This extends to other critique that argues the narrow definition of poverty (income-based), while other causes of poverty are also possible such as power, interest, access (Tucker, 2011).

### **5.2.3 Drivers of PPT Approach**

The strength and weakness of the PPT strategies seems to be rooted in the considerable contribution and active participation of actors or stakeholders associated with the application and fulfilment of the PPT approach. This case study identifies a range of actors visible in PPT

both at the public and private level and actively engaged the slum community at small and micro level. The observation revealed how connected these actors are and how potent the influence or grip they exercise dictates the overall trademark of Kalingalinga settlement.

### ***Policy Maker***

Government bodies should play a key role if PPT policies are to be implemented impactfully. The bodies are equipped with multiple resources capable of influencing public opinion, on taking action such as through passing laws on issues such as tenancy or slum eradication strategies, and the power they could exert on communities in taking action towards slum attraction, perceptions and small infrastructural improvements.

### ***Private and Third Sector***

Any void left by governments actively participating in PPT, is often filled by the private sector who are profit driven and/or non-governmental organisations. The power they exert is significant and often positive (Harrison & Schipani, 2007), particularly in tourism operations and control of tour guides. Their roles could involve partnering with the disadvantaged community to carry out activities and ensure benefits are ploughed back into the construction of tourism products or in its marketing process.

### ***Settlers/Dwellers***

The poor's participation in slum tourism varies, despite them being the key stakeholders whose resources are being exploited. Their engagement in the slum tourism industry includes participation in various informal employment activities such as housemaids, labourers, slum tour guides. The poor are often engaged with local and international NGO's, private and public sectors to access opportunities such as learning new skills which are useful in the development of niche products for the tourism market.

### ***Tourism Product and Target Market***

There are various products within Kalingalinga settlement developed as a result of community exposure to the tourism sector. These products and services may vary from one slum settlement

to the other, with Kalingalinga influenced by local skill sets, the production of metal fabrication, provision of accommodation to students, sales of curios and local activities such as football serve as tourist attractions. The market that exists within the community also varies from micro small and medium enterprises, with variation in the classes of tourist or customers they are able to attract to purchase goods and services. This tourism production and target market may require the consolidation of existing tour packages anchored by CBO's when developed, to advance the benefits including PPT slum tourism packages.

#### 5.2.4 PPT Application

The effectiveness of the PPT approach is known to have been tested among northern and less advanced countries, with Glasgow being one of the first cities in the UK to test the validation of PPT as a theoretical concept (Richard Butler et al., 2013). The transfer of knowledge seems difficult coming from the north as observed by Mitchell (2019). With this in mind the PPT approach has managed to permeate various academic literatures and research, revealing useful contributions on how to manage nexus of poverty alleviation and tourism development (Rogerson, 2006). The strategy has also been adopted by various global organisations such as UNWTO (Scheyvens, 2007). Other areas where PPT theory has successfully been adopted are shown the diagram below:

Case study	Type of actor	Type of PPT intervention studied	Level of engagement
Wilderness Safaris – Maputaland, South Africa	Part of large commercial company (Southern African tour operator)	<ul style="list-style-type: none"> <li>• Operation of 2 lodges that are tri-partite commercial partnerships between WS, neighbouring communities, and the state conservation authority</li> <li>• Located in Protected Areas in very poor areas of South Africa</li> </ul>	<ul style="list-style-type: none"> <li>• Mainly local – 2 lodges</li> <li>• Plus provincial level discussions</li> </ul>
Tropic Ecological Adventures – Ecuador	Small commercial company	<ul style="list-style-type: none"> <li>• Tour packages that include operations run by Amazonian Indians:</li> </ul>	<ul style="list-style-type: none"> <li>• Local: in multiple community tourism locations</li> </ul>

	(Ecuadorian tour operator)	<ul style="list-style-type: none"> <li>– partnerships with Huaorani Indians to develop tours</li> <li>– marketing of other communityrun Amazonian products</li> </ul>	<ul style="list-style-type: none"> <li>• Macro: engagement in policy discussion &amp; private sector tourism organisation</li> <li>• International: marketing</li> </ul>
NACOBTA and UCOTA Community Tourism Associations – Namibia and Uganda	Domestic nongovernmental organisations	<ul style="list-style-type: none"> <li>• Establishment of a membership-based trade association of small tourism operators</li> <li>• Promotion of community involvement in tourism: <ul style="list-style-type: none"> <li>– direct support to enterprises</li> <li>– linking private sector with communities</li> <li>– policy discussions</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Local: enterprise support at multiple locations</li> <li>• Macro: policy dialogue</li> <li>• Private sector discussions, locally and nationally</li> </ul>
SNV-Nepal – Humla Region, Nepal	Netherlands Development Organisation	<ul style="list-style-type: none"> <li>• Mobilisation of poor people and community groups to stimulate participation in tourism</li> <li>• In very poor region (Humla) with small trekking industry</li> </ul>	<ul style="list-style-type: none"> <li>• Mainly at village and district level</li> <li>• Plus policy engagement with Nepal Tourism Board</li> </ul>
St. Lucia Heritage Tourism Programme – St. Lucia	Government – Tourism Ministry	<ul style="list-style-type: none"> <li>• Diversification of existing tourism and development of new ‘heritage tourism’ to expand participation, benefits and sustainability of the tourism sector</li> </ul>	<ul style="list-style-type: none"> <li>• Macro: policies, marketing, capacity, product development, and public awareness</li> <li>• Local: enterprise development, multiple locations</li> <li>• International: marketing</li> </ul>

SDI and CPPP Programme – Northern Province, South Africa	Government: cross-departmental initiatives	<ul style="list-style-type: none"> <li>• Creation of investment packages to leverage private investment in tourism developments on communal or state land (embracing economic empowerment of black communities)</li> <li>• SDI and CPPP are national programmes studied through implementation at: <ul style="list-style-type: none"> <li>- Makuleke – a tourism initiative of Makuleke community, supported by CPPP among others</li> <li>- Manyeleti – a focus for tourism commercialisation within Phalaborwa SDI</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Translating policy to local-level: use of planning gain in setting terms for investment bids</li> <li>• Local: information &amp; technical support for community and investors</li> <li>• Policy: establishing policy framework for SDIs, CPPPs &amp; linking with other government initiatives</li> </ul>
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**Table 11:** Summary of PPT case study actors and interventions. Source: Adapted from Ashley, Roe and Goodwin (2001).

### 5.3 Economic Theory

#### 5.3.1 Modernisation Theory

The guiding principle behind the modernisation economic theory revolves around “duality” of arguments built around maturity of society transiting between modern-traditional and industrial-agricultural. This duality assumes that what was experienced by modern society, will be replicated in time in a peripheral country (Önez Çetin & Özgür, 2012). Peripheral countries are referred to as most countries in the south and modern as nations in the west. This suggests that issues such as poverty, infrastructural challenges including proliferation of urban settlements are conditions that modernisation theory refers to as the transient period which most emerging economies will eventually transit through or be free off, similar to patterns experienced by most northern countries (Hoselitz, 1961).



The modernisation theory first discussed between 1950s and 1970s was suggested as a panacea in tackling some of the challenges expressed by emerging economies, considering its shared attributes with tourism and development (Önez Çetin & Özgür, 2012). This relationship of tourism with modernisation was advanced based on tourism's valuable contribution to social, economic and environmental stability and growth in developing countries (Jafari, 2002; Sofield, 2003). Therefore, going by the modernisation theory, tourism is considered a vehicle to poverty alleviation, capacity building, source of foreign direct investment (FDI) and job creation in developing countries. Tourism is seen by many people living in emerging economies as that sector that exposes them to modernisation and opens their economy to overseas visits including influencing a cultural shift from past way of life to something contemporary (Williams, 1998).

### **5.3.2 Dependency Theory**

Amin's research on dependency theory suggested that "underdeveloped economy is a component of capitalist world economy, there are no two colliding societies" (Disney, 1976). In later works Amin explores racism and its relationship to dependency "South African racism... is essential to the economic mechanism. The society and the economy of South Africa are in no way 'dualistic' because the 'homeland' perform an essential function at the service of the 'modern' sector: that of furnishing labour at a lower price," (Amin cited in Hout, 1993). These narratives were suggested to be linked to why developing countries are still underdeveloped and their poor integration into the league of wealthy nations shaped by capitalist mindset of colonial powers such as the United Kingdom, Portugal, Spain, the United States, who are also active participants in the tourism sector. Tourism was observed to often be damaging to the natural environment and often breeds resentment among host nations if not properly managed and could not be viewed as a poverty alleviation mechanism based on model against proposition by champions of modernisation theory (Önez Çetin & Özgür, 2012).

One of the other researchers whose input on dependency theory is highly valued was Galtung (1980), with research focus on distribution of power and wealth. Galtung assumed that "power and difference in power are based on inequalities, injustice, exploitation, penetration, fragmentation and marginalisation," (ibid). Further reference by Galtung revealed that "For power to be power-over-others it is not enough that somebody be high in innate power or

resource power or both. Somebody else has to be low on them; there has to be inequality in the distribution of resources. Along this power gradient, influence - of the ideological, remunerative and punitive kinds - flows down to the poor periphery at the bottom of it all. No wonder the power elite can be small and the masses numerous, if the difference in power potential can be tremendous and the gradient so steep,” (Galtung, 1980). For third world nations to tackle these challenges Galtung proposes the theory of self-reliance, based on the perception that “countries of the periphery would have to attack the international structures of dominance and inequality, to attack the international structures of dominance and inequality, to change their own economic, political, social and cultural position,” (Galtung, 1980). The dependency theory according to Hout (1993) creates inequalities which “result in the creation of a dominant, wealthy core, and a subservient, impoverished periphery”.

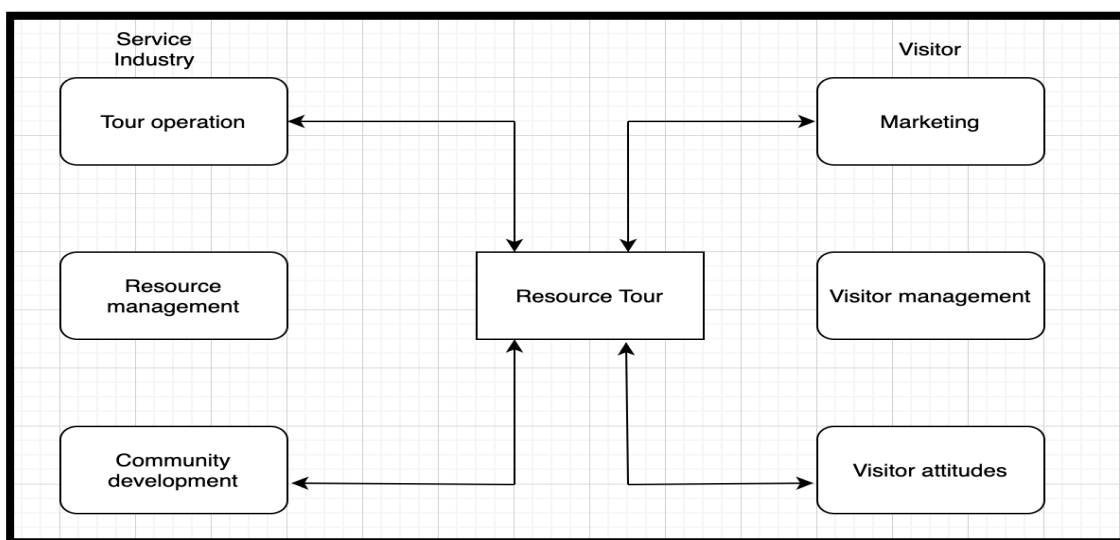
Dependency theory is based on critical thinker perspectives, which suggested that tourism should not be appraised as a sector capable of alleviating poverty of developing nations, considering the reliance of poor nations on developed countries (Önez Çetin & Özgür, 2012). This theory implies that “Third world countries have been situated at the same economic system (capitalism) with the first world countries and with the continuity of that dependency” and “poverty cannot be disappeared in time” (ibid). This view is contrary to the modernism theory which is disposed to horizontal changes and sits on the premise that there exists a duality of transition between what is acknowledged as modern and traditional formation of the same process. Dependency theory opposes this modernism principle by raising a contrary understanding of the possible effect of tourism among low income nations, which supports Jafari’s (1990) views of a need to be cautious of the total embrace of tourism prospects of prosperity among lower economic nations.

As identified in early chapters the slums being complex in nature require a wide-ranging intervention to address challenges faced in the pursuit of poverty alleviation. While urbanisation may be a necessary process in the development of cities, per modernisation, the lack of infrastructure and policy to support the integration of migrants leads to the proliferation of slums. To reduce issues of dependency, self- reliance can be sought through capacity building, that can sustain continued development. A combination of elements from the theories and frameworks to be discussed could provide a solid foundation for the development of a conceptual framework and fieldwork.

## 5.4 Ecotourism Framework

The concept of ecotourism appears similar to many alternative forms of tourism (such as slum tourism) being practiced in many parts of the globe. This idea of tourism, which appears to be driven by tourists wanting more from destinations and being involved in the everyday lives of host inhabitants is gradually gaining popularity. Ecotourism is often referred to as ‘a form of tourism inspired primarily by the natural history of an area, including its indigenous cultures’ (David A Fennell, 1999). Wallace and Pierce (1996) state that ecotourism involves ‘travel to relatively undisturbed natural areas for study, enjoyment, or volunteer assistance.’ This type of tourism appears to be ethically inclined and seems to monitor the behaviour and objectives of tourists in the host community.

The role of training and education also play a key role in ecotourism as observed by Wearing (cited in David A Fennell, 1999) who indicates that includes the ‘identification of concrete experience, observations and reflections, formation of abstract concepts and generalisations and testing implications of concepts in new situations.’ The figure below reflects a view on what ecotourism entails based on Fennel and Eagles (1990) who primarily identified visitors and the service industry as key contributors to the ecotourism resource tour. The division is vital to the feasibility of the ecotourism and simplifies the process of product development and service delivery within the resource tour. The resource tour which is the product is central to the process and affects and is affected by the activities undertaken.



**Figure 16:** Review of resource tour, showcasing service industry and visitor. Source: Adapted from Fennell and Eagles (1990).

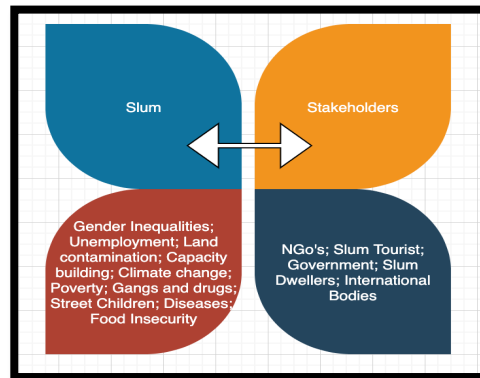
## **5.5 Petri-dish Framework**

This research also reviewed the Petri-dish framework, as this approach is used to address multiple related yet disjointed sets of variables, situations reflected in slum settlements which comprise different stakeholders with multiple biases and interests. A study carried out by Huxtable-Thomas and Hannon (2015) using the Petri-dish framework shows that the outcomes experienced in this kind of setting are often complex based on the views of various policy makers or participants where “no single measure of effectiveness” can be achieved.

The framework assesses the role of key stakeholders and participants in slum settlements and the interactions that may ensue with slums settlers. The three-key domain groupings being considered are capacity building, stakeholder synergy and social-economic growth. Capacity building encapsulates strengthening the skills and procedures required by slum dwellers to grow and thrive; stakeholders’ engagement - reviving the culture of collaboration among stakeholders and the benefits associated with sharing resources; and achieving socio-economic growth which all seem critical in the fight against poverty and social vices linked to urban poor areas. Furthermore, given the data to be collected and the analysis to follow, four main achievable research areas were acknowledged linked to research goals and objectives. These tangible objectives based on research design and questions posed include community initiatives (slum dwellers), joint fundraising exercise (stakeholders), policy recommendations (government) and business creation (slum dwellers). Advance analysis using the framework could help support decision making on possible interventions to adopt in slums, as all slum variables and intersections would have been taken into consideration and measured against key domain groupings.

While the framework may satisfy some of the objectives raised by the research study, it may be limiting in scope in the audience or variables it can accommodate. A novel framework was necessitated by these shortcomings in delivering the objectives set out in the research study. The Petri-dish theoretical framework seems robust enough to accommodate multiple participants and on its influence in the “analyses of complex social realities,” (Huxtable-Thomas & Hannon, 2015), like conditions noticeable in urban poor settlements and may be useful in exploring the numerous interactions between slum variables and the characterising of external players, especially in the role they play in slum development and stakeholder interconnectivity. However, the slum is a continuously changing environment and petri-dish

approach may fall short in addressing such circumstances and challenges. There may be no one universal approach to mirror the happenings in slums across the globe, as slum settlements emerge differently, and consequently are not the same. Further research study is required in the deconstruction of slums; its potential and imposed policies as relates to the interaction between slum dwellers and stakeholders with vested interest in slums.



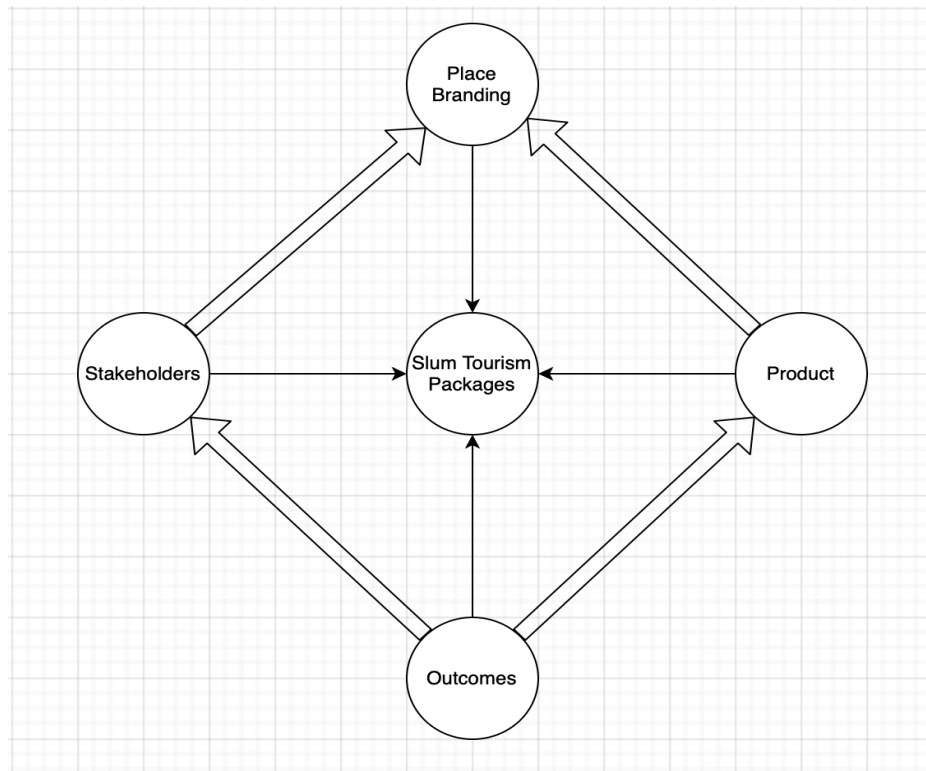
**Figure 17:** First phase into the understanding of slum and stakeholder linkages.

The above diagram, is the first phase into the understanding of slum parameters and how these factors co-exist or interact, geared towards investigation into a robust framework of feasible interventions in slums.

## 5.6 Slum Tourism Framework

In Rio de Janeiro, Brazil the concept of slum tourism was born out of the desire to address stigmatization and discrimination of the slum community and as a way of giving positive visibility to the slum settlement. The initial intention of the slum inhabitants was not to create an attraction to tourist, but to rebrand places primarily known as spaces with high rates of poverty and illicit activities. This required participation of both internal and external stakeholders, which in turn created the basis for the promotion, marketing, awareness, outcomes and products. The transformation of such places seems to shine a light on what could be achieved when various stakeholders collaborate. The array of activities produced by the community coupled with the local and international media attention contributed to boosting the focus on such areas and appears to have stimulated part of the influx of tourists. Poverty and the need for capacity building seems to have played a key role in the construction and

deconstruction of slum settlement and this sometimes feeds into some of the motivating factors or curiosity often referred to by tourist as reasons for engaging in slum tourism.



**Figure 18:** Slum tourism framework. Source: Adapted from Torres (2012) and Frenzel et al., (2015).

The frameworks explored seem to indicate a related pattern or skeleton of what motivates communities to engage in slum transformation processes and the consequent outcomes of slum tourism in such neighbourhoods, as depicted in the diagram above. Slum tourism is stimulated by interest from stakeholders that leads to the branding of a place through the control of images that can shape perceptions and create attraction. This attraction in turn dictates the type of tourist that visits a place and the activities they may engage in or that are created to suit their needs and wants. The degree to which activities and perceptions of place are dictated directly by slum dwellers in these instances will vary in each slum, its demographic and socio-economic profile differ. The slum represents the product with its challenges exploited by stakeholders, who are mainly tour operators and in some instance's governments and NGOs, herein lies the complexity and controversy that can surround slum tourism as discussed in Section 3.5.1. While the slum dwellers are integral to the slum they can be left out of the planning and implementation process because they lack decision making power and skills leaving them open to losing out on potential benefits of the tourist market as presented in Section 3.5. The

outcomes of tourism are dependent on the product (slum) and can include increased economic activity and visibility which may or may not translate to maximum benefits for the slum dwellers.

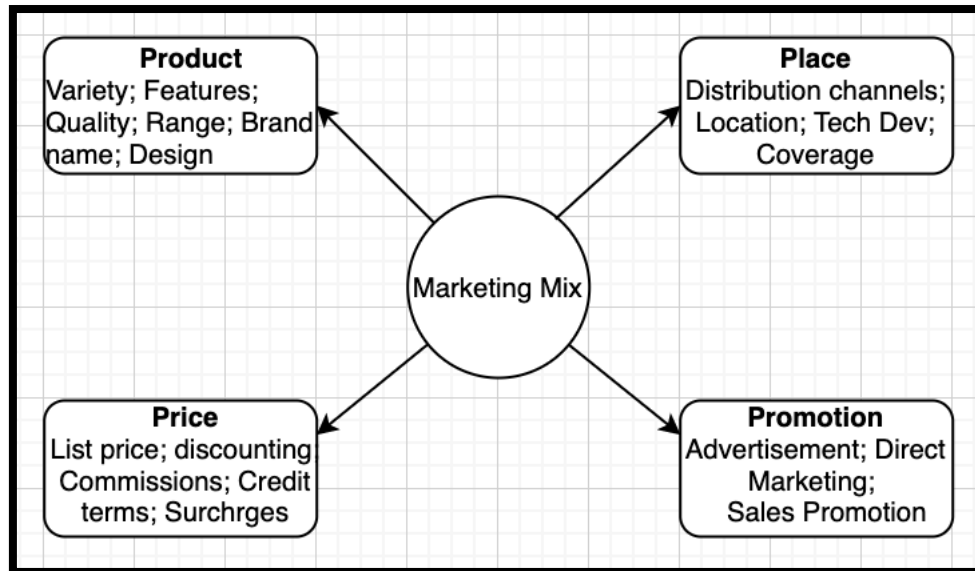
This trend was observed in literature on slum tourism encountered, spanning from Favela in Rio de Janeiro, Brazil (I. Torres, 2012); Medellin, Colombia (Hernandez-Garcia, 2013); Dharavi, India (Diekmann & Hannam, 2012); Townships in Cape Town, South Africa (Rolfes, Steinbrink and Uhl 2009); Kibera, Kenya (Chege & Waweru, 2014); Egypt (Hendaway & Balsam, 2016). Also, similar are the challenges encountered which can be overcome by engagement with stakeholders who may be interested in participating in the rebuilding process. There is much potential in the associated products and marketing processes that could lead to sustained growth. To maximise benefits sustainability measures are included in Phase I of the proposed conceptual framework presented in Section 5.9.

## **5.7 Tourism Marketing**

The application of marketing principles in tourism has been recognised by some researchers as challenging due to the ‘diverse and fragmented’ nature of the tourism industry (Youell, 1998). The multiple activities often associated with tourism delivery appear to affect the standard management of marketing strategies and implementation, and sometimes creates a decision-making vacuum in the delivery processes especially among micro, small and medium enterprises who are active participants in the tourism industry but lack the necessary marketing skills. Kotler (1994) defines marketing as ‘a social and managerial process by which individuals and groups obtain what they need and want through creating, offering and exchanging products of value with others.’

This definition suggests that marketing encourages the exchange of goods and services that may be created by interaction between tourists and slum inhabitants, which may further influence the details of tourist products offered and demanded. Understanding the parameters associated with the marketing process in tourism has a bearing on gathering data and conducting comprehensive marketing research. The marketing research process may vary depending on the size of the organisation, but as highlighted by (Youell, 1998) the key stages should cover areas such as identification of the marketing objectives, strategy development, strategy implementation, analysis of marketing data gathered from research and report on the

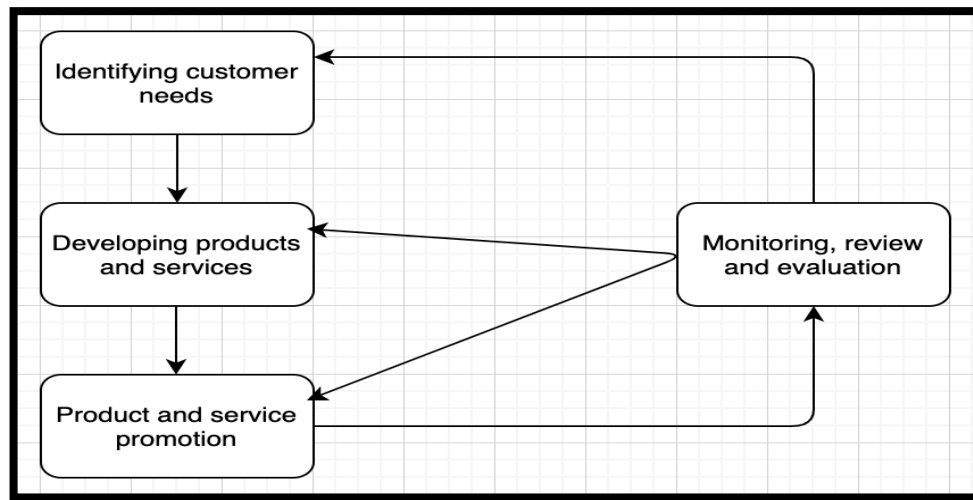
findings, some of these stages are pin on one of the key fundamental concept of marketing known as the marketing mix with the 4 P's of marketing in tourism captured below (Place, Product, Price and Promotion).



**Figure 19:** Marketing Mix. Source: Adapted from Youell (1998).

The knowledge that goes into the first stage of the marketing process, which is in identifying the tourist interested in touring slum settlements could contribute to gaining more insight into data such as the motivation of tourist and spending power, necessary in the process of marketing decision making. Further analyses of information could be useful in developing targeted products and services, which may influence the promotion processes and how organisations could monitor and evaluate the continually changing phases of marketing processes in tourism. Bringing together theory and management principles to build a sustainable tourism model requires the development of a robust conceptual framework that includes monitoring, review and evaluation, as shown in the diagram below.





**Figure 20:** Marketing process in Tourism. Source: Adapted from Youell (1998).

Marketing can also be defined as the process of “making, enabling and keeping promises to consumers,” (Dolnicar and Ring, 2014). In the context of tourism this requires an understanding of tourist’s motivations (needs and wants) and the ability to meet these to ensure the viability of activities and attractions. The marketing of tourism and consideration of the motivations of tourists will shape the outcomes achieved by host organisations and communities. Marketing also revolved around experience and satisfaction of tourist at host destinations, this often increases the willingness to engage and demand for products and services. Realising this goal may require the collective effort of all slum stakeholders and attention focus on detail information on overall tourism package such as timing and seasons. There is also a need to understand tourist behaviours and the different types of tourist that may be willing to explore slum settlement and the use of marketing communication tools such as word-of-mouth and electronic-word-of-mouth could be valuable for branding and building a loyal base (Ibid).

## 5.8 Summary and conceptual framework

This chapter set out to explore concepts and theories of tourism, poverty, pro-poor tourism and economics pertinent to the study reviewed various tourism frameworks and ways in which they can be adapted to support current interventionist processes in slum settlements.

Firstly, theories were discussed to create a path to the development of a conceptual framework. Poverty theory revealed that there are multiple definitions, conceptions and characteristics of poverty and as such understanding the scale of poverty that exists in the study area is important but so too is the acceptance that one intervention may not act as a panacea in poverty

alleviation. However, the potential for capacity building offered through a tailored slum tourism intervention appears promising as tool in inclusion. Although pro-poor tourism is not without its criticism in, for example, difficulty of measuring outcomes and poverty reduction. This calls for a range of stakeholders to commit to the process if goals are to be achieved and for government to support through policy that affects change. To assuage the narrative on dependency that often arises in the development debate self-reliance should be a goal of interventions.

Secondly, tourism frameworks were investigated as was marketing to illuminate features that lend well to sustainable socio-economic development and the roles of key stakeholders and participants. The frameworks illustrate the importance of understanding slum causation in the process of developing strategies of place branding, identifying stakeholders and the marketing of products and services. Reinforced is the notion that the framework chosen, and the marketing mix ought to be determined by the unique conditions and resources of the slum settlement of focus.

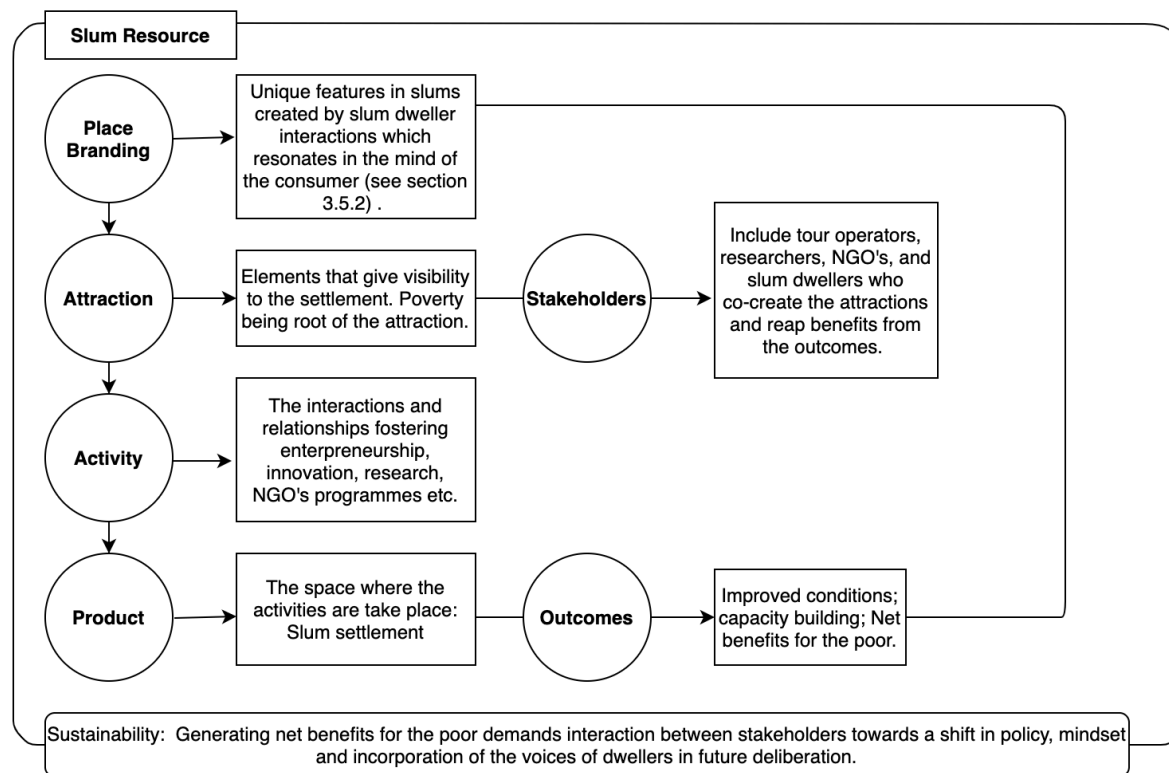
## **5.9 Initial Conceptual Framework for Kalingalinga**

Based on evidence garnered from the literature review, a unique slum tourism framework is proposed, that places the slum dwellers as the main actors in the intervention process. They are integral to the stabilisation of the slum structure or space and command a pivotal role in the construction of the framework as discussed in Section 3.2. The conceptual framework is presented in three phases to unpack the complex structure that exists in slums and the factors influencing these spaces. Phase I and II of the proposed Kalingalinga slum tourism framework is presented below. Phase I is an abstract of the slums resources with built in sustainability necessary for slum tourism viability in Lusaka. This phase is important in identifying the attractions, activities, products and marketing that will determine the viability of slum tourism as an urban resource. Place branding is determined by the unique features of the slum (see section 3.6) including the relationships and interactions that are influenced by culture and tradition. These features create visibility that will draw tourists to the slum, at the root of attractions to slums is the poverty that creates the unique conditions present in each location (see section 4.4.4). The societal response to poverty may lead to entrepreneurial efforts, innovation, research and philanthropic engagement that create the activity profile of the slum, shaping the settlement (product) itself, thus creating a product to be marketed/exploited. If slum

tourism is to reap net benefit for the poor, sustainability (See section 4.3) must be incorporated to ensure continuous development. Sustainability was not explicitly visible in the slum tourism framework presented in Figure 16 above. Sustainability of process and place here is therefore intended to secure net benefits for the slum dwellers, this may take the form of providing economic opportunities and the improvement of living conditions and infrastructure as a result of increased visibility. The outcomes of tourism as discussed in the framework in Section 5.6 will be dictated by the product, which is influenced by a number of factors to be addressed in Phase II.

### Phase I

Slum visitors in Phase I are at the allocentric phase, still exploring the uniqueness of Kalingalinga slum and how interaction could be established. The slum settlement is referred to as the product in Phase I and a unique space for slum tourism exploration. The outcome being sought by slum dwellers in this space is the creation of an enabling environment and improvement in living standard that addresses challenges such as sanitation, limited infrastructural development and generate benefits for the poor. Slum tour operations are conducted in synergy with the host community of Kalingalinga, dwellers are employed as tour guides which should be guaranteed by policy. The tourist, after transfer from Kenneth Kaunda International Airport, Lusaka, is received by the dwellers in the host community and briefed about the tour activities. Activities include football tournaments, exploring opportunities that foster entrepreneurship, relationship building, historical tour and information, and the sale of local produce (food, drinks, garments etc.). These activities help stimulate the branding of the space and placement of Kalingalinga in the mind of tourist and potential visitors. The gradual increase in activities and discoveries of new attractions leads to further economic improvement and capacity. This interaction could change the perceptions of tourists and the way dwellers see themselves. Phase I presents slum as a resource with limited activities and interaction between tourist and dwellers. Poverty still remains the main attraction at this stage, generating long-term benefits for the poor requires the injection of a sustainable element which addresses the immediate and future gains to the community. Critical to this stage is an understanding of how tourism and slum can co-exist while the challenges of slum are sustainably managed.



**Figure 21:** Phase I of Kalingalinga slum tourism framework (Slum Resources and Sustainability).

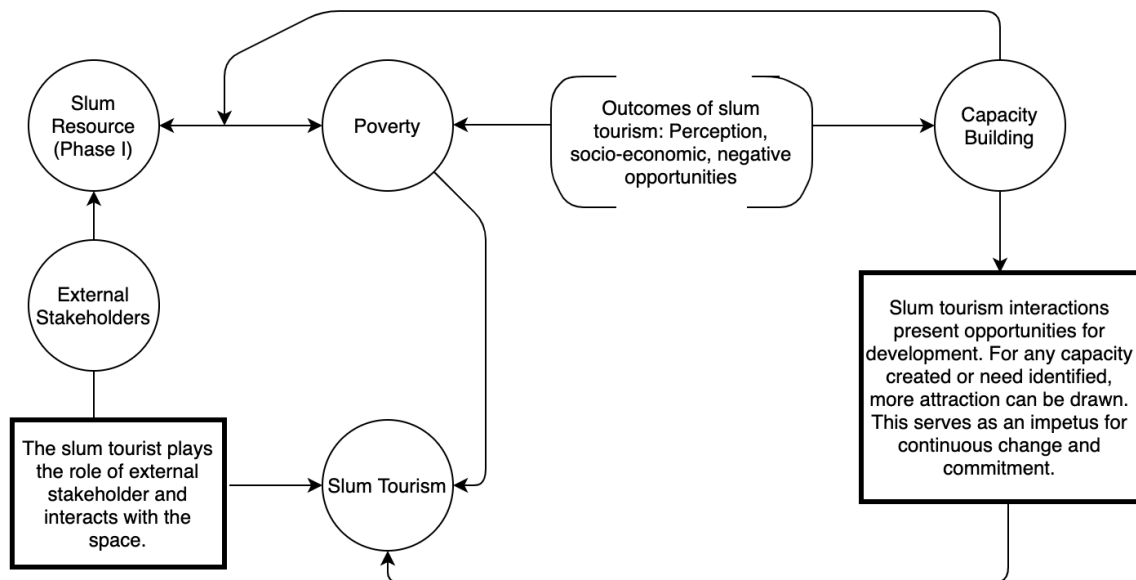
Phase II identifies factors such as poverty (see section 4.4.4), capacity building (see section 4.4.7), tourism and external stakeholders (see section 3.3.1) that determine whether slum tourism is a viable product. The slum tourist interacts with Phase I and they are key to the sustainability, nature and outcome of engagement with Kalingalinga space. Attraction in Phase I is connected to poverty, this attraction can be to the conditions of poverty or causation which will influence the tourist activity taking place. Exposure of dwellers to slum tourism produces outcomes that with adequate capacity building leads to the creation of opportunities to address poverty. Achieving outcomes in this deprived space demands synergy of multiple factors without which net benefit for the poor may not be fully actualized.

## Phase II

Phase II of the proposed Kalingalinga slum tourism framework acknowledges the importance of the activities and attractions slum present as a resource. However, slum is an informal community with multiple actors, an anathema to sustainability being proposed in Phase I and enshrined in Agenda 21 (see section 4.3). Exploring sustainability for all actors concerned demands

addressing commonalities and unique features of Kalingalinga, which attract visitors to the settlement and act as a resource for intervention purposes. These commonalities are further uncovered in Phase II and are required to achieve the desired outcomes, named slum sustainability enablers. The phase recognises that the slum in its current form is a resource to visitors or external stakeholders based on poverty, which is what often initiate slum tourism. Therefore, the concept of poverty as a resource in slum tourism creation has to be broadly explored including motivation of tourists and alternative opportunities that could be explored from interaction and engagement. Creating the space for commitment requires an evaluation of infrastructure and features that could be viewed as opportunities. Historical evidence and unique features of the slum should therefore be protected towards attaining sustainability. The demolition or gentrification of the slum without due reference to historical ties could jeopardise sustainability outcomes.

Places of poverty such as Kalingalinga slum are known for entrepreneurship with residents, engaged in a variety of informal economic activities. It is however evident that there is a disconnect in harnessing the full potential these interactions promise and there is a need for capacity building. Capacity building allows for the sustainability of the slum tourism market and the development of products and services visitors may find attractive. The capacity audit also assists in the creation and discovery of new opportunities, including uncovering areas of expertise and skills that could be developed such as project management, risk management and product branding, which adds value to current opportunities. Sustainability enablers in Phase II could foster transition of perception, here slum tourism as a tool for poverty alleviation could change narrative and the type of engagement.



**Figure 22:**Phase II of Kalingalinga slum tourism framework (slum sustainability enabler).

Part two of this thesis discuss the components of the research strategy, including methodology and approach, data collection and analysis, after which, research findings are discussed and analysed.

## 5.10 Conclusion of Part I

Part 1 of this study has dealt with the prior knowledge at the nexus of research in slums, poverty and tourism.

As described in Sections 1.2 and Chapter 2, researchers and multilateral organisations have identified the challenges of slum as being wide-ranging and complex. This is reflected in the characteristics of slum and the varied environments slums are associated with. Key developmental needs such as food (in)security, the need for slum upgrading and the role of slum tourism and place branding have been identified and extensively reviewed by researchers in their hope of narrowing down possible interventions to affect positive change in slum environments and its inhabitants. Major themes binding many of the developmental needs appear to be directly or indirectly linked to poverty and inequality as resonated by many stakeholders and organisations working in slums. Poverty alleviation can lead to a reduction in inequalities, it is therefore integral to the examination carried out in this research study, which seeks to understand and investigate the slum as an urban resource.

### **5.10.1 Poverty as a driver and a source of complexity**

The term poverty, however, is a relative term across nations and it may not be a phenomenon confined only to slum (Lilford et al., 2017) and addressing the issue of poverty alone may not yield the desired result among the urban poor (Maitra & Rao, 2015). The poor spend most of their money, earned informally (Nisbett, 2017; Frenzel *et al.*, 2015; Ashley, Boyd and Goodwin 2000), on food purchase, shortage of food and money are also some of the issues cited by (Strobbe et al., 2013) as reasons why street children left home. These observations by some scholars on the importance of food security in slums seems valid, however the purchasing power of slum dwellers needs to be considered when analysing food insecurity in slums, as not all slum dwellers have the resources to continually purchase food. This challenge may also be linked to the availability of food in a consumerist economy where so many factors affect the demand and supply of food. Reducing poverty in slums may be a way forward in tackling the challenges posed by food insecurity and other barriers to sustainability.

The themes of poverty and tourism may coincide when discussing prospective interventions to the challenges of slum, these issues were raised by Torres and Momsen (2004) based on their analysis on restructuring the global urban economic and sustainable outlook, although further analysis is needed, to make tangible potential gains of this framework. Maitra and Rao (2015) however observed that insufficient data on poverty could scale back these global viewpoints, contribute to the failure of past approaches and impede the transition from research to program formulation. Considering the limited impact of past interventions in addressing the challenges of slum settlement (see Chapter 3), the phenomenon of slum tourism was highlighted as a possible panacea (Frenzel *et al.*, 2015). This was in view of social transformation and revenue generated by branding of poor neighbourhoods in countries such as Brazil, Kenya, India and South Africa through the attraction of mostly foreign tourists to slum settlements.

### **5.10.2 The research gap as identified in Part 1**

There seems to be a dearth of research and publications on the link between poverty and tourism, and literature on slum tourism and slum tour companies in Zambia, considering there are over 37 slum settlements in Lusaka, Zambia (World Bank, 2002). Research on identifying possible links as observed by some scholars may be critical in addressing the core challenges facing urban poor in Africa. Examining links can be a complicated process with diverse

opinions mirroring the wide-range and scope of challenges faced in slum settlements. Cohen, (2006) in his contribution on urbanisation in developing countries, reports regression in the volume and standard of urban research coming from Africa. Cohen ascribed this to the failure of universities and research centres in Africa to undertake thorough empirical and plausible research against the insurgence of non-traditional institutions or organisations. Marx, Stoker and Suri (2013) observed paucity of research on the correlation between poverty and slums especially in emerging economies, perhaps due to challenges associated with data gathering in slums. Factors influencing slum settlements were reviewed by Gulyani, Bassett and Talukdar (2014), especially those that measure urban resilience, leading to a call for more research on urban living. Das (2015) in his remarks commented on the potential of slum upgrading in urban poverty reduction particularly when urban poor communities can access microcredit facilities, adding a different dimension to the debate. Yu et al., (2016) noted the need for more research when analysing the challenges and impact of slum upgrading in poor urban settings in India. Some researchers thus, express concerns on the negative reporting of slum settlement, while appreciating the need for further research on slum tourism (Steinbrink, Frenzel and Koens 2012; Nisbett, 2017).

The sustainability of urban tourism, one of the sectors considered to be capable of boosting the local economy and helping alleviate poverty, perhaps lies with the positive experience of tour goers (Dyson, 2012). More investigation, however, is required for tourism sustainability to broaden the understanding of influences exerted by different stakeholders engaged in tourism business (Nunkoo & Smith, 2013). The tourism sector with particular reference to slum tourism has not been fully explored in Zambia and is currently not integrated with the mainstream tourism sector. Slum tourism is observed in many literatures as potentially being able to boost local income and reduce poverty among slum dwellers. Revenue generated from other arms of the tourism franchise could also be reinvested in the local economy and may kick start entrepreneurship and investment interest as discussed in Section 3.3.1. Equally unnoticeable in many of the literatures on sub-Saharan African is a sustainable slum tourism framework.

As described in Section 3.5, slum tourism in Zambia appears to be not widely known in the country, nor being pursued by tourists as a destination of interest. This in itself may limit potential benefits of slum tourism in Lusaka, Zambia. However, having reviewed the literature, the evidence can be brought together into a coherent conceptual framework in which slum tourism is part of a viable urban resource that secures net benefit for slum inhabitants.



## 5.11 Summary

There is limited literature and research on slums in Zambia, considering that there are over 37 slum settlements in Lusaka. This may, in part, be attributable to slum tourism as a concept not being integrated as a tourism discipline within Zambian institutions. Impacting on awareness of its potential to reap net benefits for the poor and limiting creativity and empirical data with a qualitative viewpoint that recognises the multiple realities of the various actors. To form a robust concept for exploration, information from academic and grey literature on slums outside of Zambia was synthesised with that on slum settlements outside of the country. The main conclusions drawn were that slum appears to be a viable resource and slum tourism could be explored as a tool for improving the lives of residents and reducing poverty in slum settlements. As shown in (section 3.5) the peri-urban settlements of Zambia are less exploited and resources undocumented, the nexus of slum stakeholders is yet to be appropriately annexed and slum tourism is still in its infancy.

**As a result of the literature review and resulting conceptual framework the following questions have been identified.**

### Research Questions

- What are the main tourist attractions in Kalingalinga? i.e., are there suitable attractions to tourists?
- What are the potential benefits of slum tourism in Kalingalinga?
- What are the challenges of slum tourism in Kalingalinga?
- What activities are stakeholders undertaking to promote slum tourism in Kalingalinga?

The research questions above emanated from gaps identified in the literature and were validated by considering their relevance to the initial conceptual framework from the literature review. This study seeks to provide new evidence that can contribute to an updated and coherent conceptual framework for slum tourism as an urban resource tool with the potential to secure net benefit for slum inhabitants.

## **6 RESEARCH METHODOLOGY**

### **6.1 Introduction**

This research outline is divided into three sections, it begins by looking at the research philosophy, epistemology and ontology. The purpose of this research was to gain insight into the viability of slum tourism in Lusaka, taking an exploratory stance and rather than following any theoretical framework, it seeks to develop one. The research study thus follows a single case study approach with a social constructivist qualitative epistemology, pursuing an inductive path.

Next, the chapter looks at findings that support the understanding of the study through gathering of initial empirical data collected from literature review, during slum tour of Kalingalinga and interviewing of stakeholders, thus this research sought to increase understanding of slum settlements in Lusaka and the challenges faced by their inhabitants. Some slum research seeks solely to describe or explain reality (Diekmann & Hannam, 2012), this was not the aim of this research as it did not set out to only give a descriptive explanation of slums and their challenges. In a descriptive study, the research is designed to ‘portray an accurate profile of persons, events or situation,’ (Robson, 2002). The descriptive study is often recognised by researchers to come first before an explanation about a study is made (ibid). In undertaking this research, some elements of both explanatory and descriptive studies were employed, as there was a need to provide context for the study. This approach was embraced as there is a lack of information on slum tourism in sub-Saharan Africa, gaining more insight into slums in Lusaka seemed necessary to build knowledge of slum tourism context in Lusaka, Zambia. This type of research strategy is often employed in exploratory research (Saunders, Lewis and Thornhill, 2009) and associated with various data collection methods such as interviews, document analysis and questionnaires

Finally, data collection methods and analysis are discussed to ascertain the research robustness, validity and ethical implications. A comprehensive presentation of data gathered is provided in the research findings (see Chapter 7), detailing records of exploration of Kalingalinga urban settlement from slum tours, including photographic evidence of the state of infrastructural development, environmental management and community market. The recorded interviews of residents/participants and stakeholders including engagement with Community Based Enterprises (CBEs) were also documented, as are focus group discussions with extracts of in-depth interviews of residents that were conducted based on feedback from the focus group.

## **Section One – Defending the Research Purpose and Strategy**

### **6.2 Research Philosophy**

Research philosophy is a phenomenon that is concerned with the ‘development of knowledge and the nature of that knowledge,’ (Saunders, Lewis and Thornhill, 2009). The social research study being undertaken may reveal the potential of slum tourism that could be significant in contributing to poverty alleviation in slums of Lusaka. The knowledge being investigated may, however, not compulsorily produce new theories or result in a new area of research in as much as the study has the potential of contributing to knowledge. No philosophy should be regarded as better than the other, as philosophies answer different questions in a research study and as the adopted philosophical stance should be taken in context, which may include a review of the research question being posited by the researcher (Johnson & Clark, 2006). The epistemology and ontology of this research are discussed below.

#### **6.2.1 Ontology**

Ontology is ‘concerned with the nature of reality’, it seeks the researcher’s interpretation of the world as they see it and their opinion of what constitutes it,’ (Saunders, Lewis and Thornhill, 2009). There are two ontological positions often expressed by researchers and many scholars generally welcome both.

- Objectivism: ‘position that social entities exist in reality external to social actors concerned with their existence’
- Subjectivism (also known as constructivism/interpretivism): ‘social phenomenon is created from the perceptions and consequent actions of those social actors concerned with their existence.

From an objectivist stance a slum is an independent entity and everyone within slums has a different role to play in the construct of a slum. Slums are a social construct, which are located within the formal setting of the city and slum inhabitants are answerable to the policy maker within such institutions regardless of how slum settlements are formed. This view assumes that the governance of slums is similar to that of the cities they are located in, although there may be differences in how they are being managed in terms of approach, the hierarchy and structure remains the same in most cases, while the objectivist perceives that slum and slum dwellers can be ‘manipulated, changed to produce the sort of state desired by government’.

The subjectivist considers that social phenomena are constructed by slum actors created as a result of formed opinions. There is a need to understand the reason why slum settlements exist, and this cannot be done in isolation as each has a narrative behind its social economic and demographic profile (Remenyi et al., 1998). The reality of slum dwellers, therefore, often varies and is continuously changing as opposed to the more static policy maker. O'Leary (2004) posits on social constructivism that "meaning does not exist in its own right that rather they are constructed by human beings as they interact and engaged in interpretation." Culture therefore plays a key role in determining relationships that shape experience (Jones, Parker and ten Bos, 2005). No one narrative is sufficient to describe what slums represent or the activities that occur in slums, including the behaviours of stakeholders. There is a need for researchers to understand that social actors in slums are not independent of one another and are all affected by and can influence the co-construct of the urban reality being experienced.

However, it is extremely difficult to attain perfection in research without being subjective, recognising and managing subjective tendencies among researchers could be key to attaining objectivity in research study (O'Leary, 2004). Considering the dynamic and complex nature of the research study, including the multiple actors that interact and participate in the construction of slum settlements, this research adopts the subjectivist ontological view to observe some of these relationships and their implications.

### **6.2.2 Epistemology**

Qualitative researchers broadly recognise three main categories of epistemological stance: Objectivism, Subjectivism and Constructivism (Crotty, 1998), which could either follow a positivist or interpretivist philosophical approach. Epistemology studies the nature of knowledge including its source, features and limitations (Saunders et al., 2009) or explores the philosophical stance of what kind of knowledge is possible and how to assert that it is adequate and legitimate (Maynard & Purvis, 1994).

Positivist researchers accept a more scientific approach in to draw a generalisable conclusion and are more objective, this approach is usually adopted in conducting a quantitative study which involves testing of theory. Conversely, an interpretivist philosophical position embraces a more descriptive or constructive interpretation of fields of study, which is commonly used in qualitative research (Saunders et al., 2009). Qualitative research draws on various data sources

(triangulation) to reach conclusions, accomplished through observation, gathering and analysis of data to theory development. The case studies thus are considered less rigid to other types of inquiry such as experiment or survey (Yin, 2003).

This research did not initially adopt a theoretical framework, it was navigated through a social constructivist interpretivist approach. Social constructivism is an ‘ontological position that asserts that social phenomena and their meanings are continually being accomplished and reviewed through social interactions by social actors’(Bryman, 2012, p. 33). By extension constructionism is also defined as ‘the historical and cultural specificity of knowledge and the relationship between such knowledge and the possibilities for social action and power,’ (Burr, 2003, p. 18). The definitions provide a starting point for beginning to understand and explore the interactions between government and slum dwellers that lead to the creation of their phenomenal world (ibid).

### **6.3 Overall Research Approach**

A research methodology is an integral part of conducting or carrying out a research, and it is essential for researchers to know the importance of using a research methodology when engaged in any research study, as different research methodologies are more suited for some findings than others. Rajasekar, Pitchai and Veerapadran (2006) defines research methodology as a ‘systematic way to solve a problem or the procedures by which researchers go about their work of describing, explaining and predicting phenomena’. In the search for suitable methodology to address slum tourism viability in Lusaka, several research methodologies were examined, such as qualitative, quantitative and mixed method approaches. This research is inclined towards a social constructive ideology, with an exploratory approach. The use of surveys, strategies often employed in quantitative research methods are less suitable as this research is not designed to collect only numerical data or test collected data against established theories. Qualitative data can be argued to be more susceptible to obscurity of research findings due to its reliance on the views of participants. However, the key role participants play in the slum tourism process deem the approach suitable for exploring feasibility of slum tourism in Kalingalinga slum.

The use of mixed method strategies designed to combine elements of quantitative and quantitative research methods such as sequential, concurrent and transformative procedures may have added new insights and complimented the case study option settled for in the

conducting of this research, these options were not explored in full during this research due to being time and cost constraints. The complex nature of slums as a social space and the large cache of data that transverses slum neighbourhoods make data collection a demanding task. However, triangulation of both qualitative and quantitative data source is extensively explored and incorporated in this research to minimise bias often reflected in the use of one method over another and to “seek convergence” across methods (Jick, 1979). The favouring of qualitative over other methods was not taken lightly in the conduct of this research, the researcher was swayed by the freedom to be imaginative and inventive (Creswell, 2003). Although some quantifiable data were gathered in justifying the qualitative technique implemented in this research, due to time constraint in collecting and analysing data, associated cost and manpower, including gaining of access to multiple slum sites, the position and use of multiple research approach is weakened.

An inductive approach is utilised, interpretivist in nature, where data are collected and analysed to develop theory. This reasoning introduces an emotional feel to the understanding of a research study, which may be needed to fully comprehend what is happening in a social setting. Easterby-Smith, Thorpe and Jackson (2008) suggested that induction enables us to make a more informed decision about research design and enables one to adapt research design to cater for constraints such as limited access to data and lack of prior knowledge of the subject. The inductive approach embraces the use of a small sample size as research is not often designed to generalize the result of study and is also appropriate when the question of why arises rather than what. The inductive approach is suited to this thesis as there is little research on slum tourism in Zambia and literatures on slum are very difficult to access, which also suggests lack of existing theory to test. Further, slum tourism is a fairly new area of study in Zambia and it is not yet integrated into the mainstream tourism sector, research by the University of Zambia, Lusaka on slum settlements is relatively new.

Research involving qualitative strategy is often associated with exploratory, ethnography or participant observation and interviewing. The research adopts qualitative case study, an observation approach which seeks to develop theory based on analysis of data gathered and embrace the use of multiple sources of data (triangulation) (Yin, 2003). The use of positivist quantifiable observation that can lead to statistical outcomes was not employed in this research, as it leans towards a generalization of research result and requires the use of existing theory common within the natural sciences (Remenyi et al., 1998).

## **6.4 Research Design**

Research design according to Yin (2003) validates the interaction between the study data gathered, conclusion reached, and the research question proposed. It is about the interpretation of research questions and how they are translated in research projects (Robson, 2002). As an investigation into the potential of slum tourism as an urban resource to alleviate poverty, this study adopts an exploratory design.

An exploratory study is designed to gain deep-insight about an existing problem, to seek further clarification and to reveal why research may not be necessary (Robson, 2002). Such research purposes have been likened to a tourist's view of a place which is often influenced by new findings (Adams & Schvaneldt, 1991). This however does not imply that exploratory research is without direction, but that the initial scope of the research may have been broad and needs to be scaled down (ibid). Exploratory research is used to clarify the purpose of study, as the slum environment is complex and many factors interplay, understanding or exploring the slum and observing the role of stakeholders is critical to begin to deconstruct these complexities and to be able to justify the necessity of carrying out this study. To navigate the slum, considering its complexities, there is a need for the flexibility provided by the research approach. Narrative research was not employed as this research is not designed to construct stories of slums inhabitant. The study does, however, gather observatory information both at the household and organisational level.

### **6.4.1 Case Study of Kalingalinga Slum Settlement**

A case study approach was selected to explore the viability of slum tourism in Kalingalinga, as it is widely used in qualitative research, particularly when it is a real-life scenario and relates to complex social phenomena such as circumstances found in slums settlements. A case study strategy was described by Robson (2002) as 'a strategy for doing research which involves an empirical investigation of a particular contemporary phenomenon within its real-life context using multiple sources of evidence'. The approach is more suited for research involving the need for observation, interviewing, document and artefact review, as it is a flexible research strategy. The use of case study research by extension may be significant in the analysis on slum tourism as it could unveil concealed details that rationalise past and present interventions in

addressing some the challenges face in slums. Critics of case study often question its potential to be generalisable, research focused and time-consuming.

The case study design may also be reviewed against the use of “Petri-dish” approach (Huxtable-Thomas & Hannon, 2015) to strengthen the researcher’s understanding of other external factors that could contribute to slum environments and the perspectives of stakeholders. The petri-dish approach can simplify the complex interaction between various stakeholders and identify the probable internal and external factors that may or contribute to slum spaces. As this research was not set out to investigate multiple cases within slums, a single case study was followed because of the limited study on slum tourism in sub-Saharan Africa and creates a window of opportunity for further future research on slum tourism in Zambia. Contrary to some opinions, the result of a single case study may be generalisable (Yin, 2003).

#### **6.4.2 Case Study – Critical Assessment**

Yin (2003) suggests that for case study research to be adjudged exemplary, five criteria must be satisfied (stated below) and reviewed briefly. The viability of slum tourism in Lusaka is tested against these criteria, to justify the adoption of a case study approach and whether the outcome of the research on slum could qualify as exemplary.

*The case study must be significant:*

To be ruled significant the case study must be unique; arouse the interest of the public or be of national importance. Informal settlements or slums are present across the globe and pose a challenge to the prosperity and sustainable development of many nations, especially in the region of the South, where livelihoods are often susceptible to climatic changes and the situation is complicated by poverty. Slum settlements evoke a multitude of emotions, considering the environmental, social and economic conditions they are associated with. A study on slum tourism especially in sub-Saharan Africa, with limited literature on slums (see Fig. 19), has the potential to reveal hidden preconceptions about slum settlements and the potential impact of slum tourism on slum inhabitants. The findings of this study may contribute to policies and alternative methods of conducting slum tourism in Lusaka, Zambia, through recommendations made based on research findings.



*The case study must be complete:*

The case study is presumed to be complete as relevant information was gathered on slum settlements from across the globe, this data was narrowed down to slums in Africa and relevant literatures reviewed and documented. The study carried out interviews and group discussions on slum actors in Lusaka and data gathered on causality of slum settlements observing the possibility of commonality in stakeholder opinions. The data collected evidences some of the socio-economic and environmental challenges encountered by slum settlers, the perception of slum tourism and reasons for its persistence including its potential pros and cons. The study captures and documents extensive information on slum settlements across the globe, particularly on Kalingalinga slum, and relevant stakeholders engaged in the slum settlement and research. This volume of information is required for a case study to be adjudged as a complete piece of research study.

*The case study must consider alternative perspectives:*

The perspectives of different slum actors were taken into consideration in this case study. The view of slum inhabitants in the literatures reviewed seems to have always contradicted those of major slum policy makers. While many slum dwellers may view slum as a functioning neighbourhood, most policy makers are of the opinion that they may be contributing to urban poverty. The slum researchers, non-governmental organisations, local charities, intergovernmental organisations and slum tourist who may benefit from a slum settlements establishment may also have a contrary viewpoint. The view of these multiple stakeholders was taken into consideration when reviewing the viability of slum tourism in Lusaka including scholars on the opposing sides of the slum tourism debate.

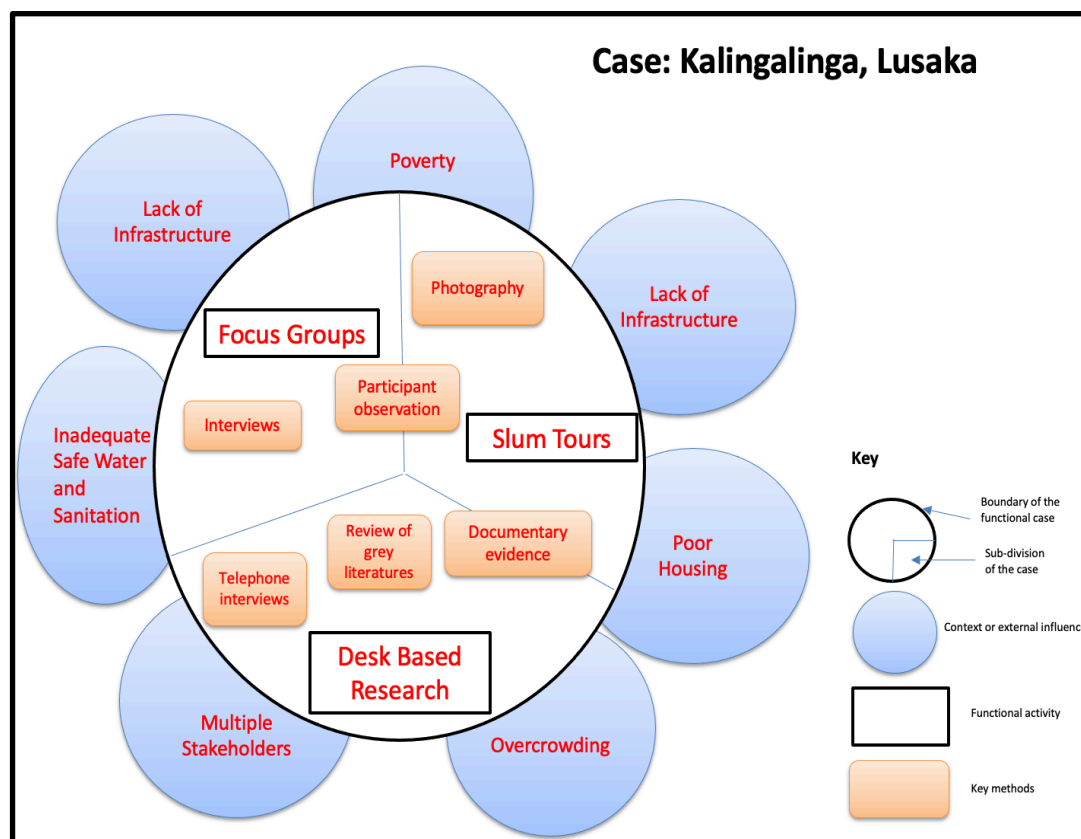
*The case study must display sufficient evidence:*

This case study presents the findings of the research in an unbiased and balanced manner, with both sides of the research argument represented. The study also presents, and documents results of fieldwork in Lusaka, Zambia with CURP as the host organisation who acted as gatekeepers. As this is a single case study approach, interviews and group discussions were adopted in data collection to triangulate the findings generated in this research. This indicates that the conclusions reached are well validated and analysed.

*The case study must be composed in an engaging manner:*

The report of the case study must command interest from the reader, this is achieved through documenting engaging interviews with slum inhabitants and communicating the challenges encountered daily living in slum settlements. The reader of the final report, especially those new to slum research will be able to follow remarkable developments in slums and slum tourism research and several publications with links to potential poverty alleviation and sustainability. These issues are thought-provoking and stimulate strong conversation across many fields of study and daily life, due to their far-reaching impacts and the suggested potential ready to be harnessed.

### 6.4.3 Case Study Map



**Figure 23.** Petri-dish of Kalingalinga Informal Settlement. Adapted from Huxtable-Thomas and Hannon (2015)

The methodology for mapping the case study adopts a Petri-dish approach (see section 5.5), as illustrated above. This diagrammatic representation of the intrinsic case captures the functional activities, external influences and key methods of data collection adopted in carrying out the case study. The case study was subdivided into three areas, according to the sources of data available, with the key methods for data capture identified within each. The sub-divisions were

not mutually exclusive, for instance, The researcher's observations from slum tours and desk-based research informed the selection of the instrument of Focus Group (FG) discussion to gain deeper insight into emerging themes. However, the three sub-divisions allow for triangulation (see section 6.6, 7.3 and 6.14.2). The research data was gathered both at the household level in Kalingalinga and institutional level for triangulation purposes, interviewing staff at Ministry of Tourism, Zambia, LCC, PPHPZ, CURP and ZHPPF (Zambia Homeless and Poor People's Federation).

The research case study was systematically designed to explore the concept of slum tourism in Kalingalinga slum settlement, Lusaka and deemed fit for this research based on research questions raised and after reviewing other strategies (Yin, 2003). Considering limited resources on slum tourism research in Lusaka, the research sought to conduct a single, intrinsic and exploratory case study of Kalingalinga that examines relationships between stakeholders, social and economic phenomena . This research study uses a case study approach to build theory in the emerging field of slum tourism. Eisenhardt (1989), suggests that in selective sampling, participants are chosen for theoretical and not statistical reasons. Data collection methods were combined in this study to allow the researcher to connect with the data and identify patterns as they emerged. Methods used include interviews, focus groups the use of field notes on gestures and observations of participants. This facilitated triangulation, which strengthens the evidence used to construct the framework (Eisenhardt, 1989). The different methods, additionally, revealed different patterns that helped shape induction of theory. Interviews of participants from Kalingalinga mostly revealed the lack of infrastructure, while the focus group session highlighted issues of the challenges of sex tourism.

Below is a chronological sequence of event that took place during the case study fieldwork in 2019. As well as containing details of how data was collected within the case study, what follows also includes some background into the participants and their surroundings for context.

**Day 0 (Sunday 8 September 2019)** - The researcher arrived at Kenneth Kaunda International Airport, Lusaka Zambia from Manchester, UK on Sunday 8 September 2019 at 3 PM local time and was picked up by a relative. Going through airport checkpoints, met a British lady (M.B) who works for CAFOD (The Catholic International Development Charity, UK) discussed her Monitoring and Evaluation projects in Kitwe, Ndola. Participant also mentioned how the charity could raise funds for projects in Africa through DFID match the sum scheme,

also discussed her visit to a slum project in Livingstone, Zambia and township slum tourism experience in South Africa. Katie was my receptionist at the Troy Lodge hotel, Zambia chosen for its proximity to UNZA and Kalingalinga slum settlement. During discussion participant mentioned being a resident of Ngombe slum settlement, a neighbouring slum to Kalingalinga. Later in the day, after securing a local Sim card sent WhatsApp messages to supervisor, relatives in Zambia and host institution.

**Day 1** - The Safezone, Swansea University App was activated and general risk assessment procedures were read. Met with Eddy (research assistant) at East Park Mall to review research timeline, research questions- simplification of questions for slum dwellers, consent form and Participant Information Sheet. Eddy discussed his research paper on Gentrification in Kalingalinga slum settlement. Also, met a Japanese researcher (C.I) at the lodge on return working on migration in the Southern Province of Lusaka.

**Day 2-** Researcher went on a car tour of Kalingalinga with Eddy and walked where routes were inaccessible. The conversation was recorded and documented.

**Slum Tour and Observation-** Kalingalinga has changed significantly since last visited in 2015. There are new housing and shopping mall projects ongoing. Alick Nkhata road, a major road passing through Kalingalinga, is being dualised and a buzz of commercial activities are taking place, raising the question about the housing situation and agreements with investors and other actors. Some slum housing is undergoing reconstruction to student hostels, Eddy mentioned that this was to accommodate UNZA students and serves as a source of revenue for slum homeowners. There are also private primary schools are a new concept providing an alternative to resource poor, oversubscribed schools run by the government. The settlement has a football playing field with goalposts and a well-lined dusty field, there is a tournament being played. The pitch is situated close to the informal market and there is a large gathering of the youths, adults and market visitors. The market stalls are on both sides of the narrow road selling fairly used goods and sport wear, local food and drinks and a mix of foreign and local household goods. The open drainage system running through the market and some part of the slum is stagnated and shops within the market use planks of wood or iron sheets to cover drainage and for access.

Depending on the area visited the smell of Kalingalinga settlement is a mixture of unclean drainages, welding-metal, engine oil, cooking food and alcohol with a detritus, dusty atmosphere. Also heard are the voices of children at home and those in the classrooms, market men and women, football enthusiasts and players, echoes of conversations, residents in different parts of the settlement chatting- mostly men and some sitting, mostly girls, and having a conversation on a mat in front of their houses. Photographic evidence of the sights that characterise Kalingalinga are collected and documented for reference purposes.

There seems to be form of urban resistance to the new developments or “gentrification” around as described by research assistant with some slum houses newly painted. Artworks and locally made produce such as handmade woven chairs and metal swing sets are on display. The settlers seem relaxed and happy within their neighbourhood. The researcher saw a funeral procession outside of one of the local churches within the settlement with visitors sitting in numbers on the backs of lorries.

The researcher later interviewed LCC Assistant director of planning and three senior community officers, the officers are fieldworkers involved in slum settlement policy formulation. The team all revealed being new to the concept of slum tourism, thou open to new ideas and happy to explore and review some of the policy currently being undertaking, to better capture voices of dwellers. They also unveiled their current work on fast tracking of title deeds among dwellers to avoid pressurised sale at unreasonable rate.

**Day 3-** At the first house visited in Kalingalinga, the participant a female, grade 2 qualified, unemployed, widow with 65 years residency in Kalingalinga, sat on the floor and brought out three homemade stools and was very accommodating and pleasant. A consent form was completed and PIS notes read. Sitting on the floor seems customary, the participant speaks a Zambian language (Nyanja) and limited English. The interview was conducted in the participants compound, the house seems clean and was gated, there were multiple house flies during the interview. The participant wore a vest, a wrapper (sarong) and no shoes. The researcher had an assistant on this tour who assisted with translating. There was a reticulated water system, clothes were soaking in a washbasin and some were spread on wire lines. Some of the questions and discussion made the participant laugh.

In the next house visited the research team was introduced to the participant (a female, grade 5 qualified, unemployed, widow and unsure of length of residency in Kalingalinga) by one of the community members as participant has not lived within the settlement for over 5 years. The two women interviewed has to seek consent from two of their son's before been interviewed, which feels strange and intimidating.

The third house visited, researcher was welcomed by an retired elderly couple, the participant (a female, grade 2 qualified, unemployed, married with 42 years residency in Kalingalinga) mentioned formerly been a local dancer and had travelled to Ethiopia and Nigeria on a dancing trip. Participant mentioned teaching dancing to kids within the slum and suffers from diabetes.

**Observation-** Most of our initial participants are women as many men decline to be interviewed or engaged with work. The researcher decided to further explore business communities within the settlement including men who are available and willing to participate in the research study.

**Day 4** - The participant (a female, grade 7 qualified, unemployed, married with 39 years residency in Kalingalinga) was pleasant but seemed reluctant to receive us, as participant was looking after her grandchildren in a gated house. When the issue of taking picture arose, participant declined, weary of the pictures being used for satanic purposes.

The next participant (a female, grade 7 qualified, self-employed, married with 29 years residency in Kalingalinga) was very pleasant and happy to receive us. The participant sells charcoal and owns a makeshift kiosk opposite her house. Participant informed of the lack of opportunities within the settlement, the participant mentioned that her child was unable to continue education due to a lack of tuition fees. The participant was open to the idea of slum tourism as a means of eradicating poverty and consented to having pictures taken with the team.

The last participant (a male, grade 12 qualified, self-employed, single with 30 years residency in Kalingalinga) on this visit was a homeowner, he had a few chickens and was a fan of Man United Football Club. He was happy to receive the research team and seemed supportive of the concept and also stated a desire to include football in the solution. The participant suggested walking unto the football pitch and spoke about the state of the only recreational centre within the settlement. He then introduced the team to local coaches and young footballers training on

the pitch. He consented to taking pictures with the researcher and with the coaches and footballers.

**Day 5-** The participant (a male, university graduate, retired, single with 14 years residency in Kalingalinga) is well read and seems to have had interactions with overseas visitors. Participant was initially very cautious, further explanation about researcher study through reading of PIS eased participant anxiety about the research intentions. Participant spouse who was cooking at the time researcher visited was also very welcoming and pleasant and children (a boy and a girl) greeted by shaking hand and bending their knee, which is a customary way of welcoming visitors. The participant was wearing a hat, took off his before we began interviewing and also agreed to take pictures with researcher. The researcher observed that many of the houses within the slum settlements are numbered.

The next participant (a female, grade 10 qualified, self-employed, single with 5 years residency in Kalingalinga) was having a shower when we visited, the bathroom and toilet were located outside of the building (a bungalow with multiple rooms). The interview took place in the compound with researcher and participant sitting on a wooden chair. The participant was very apprehensive initially but later relaxed into the conversation. They mentioned opportunities were lacking within the community such as cooperative society of which participant is happy to champion.

**Day 6-** The participant (a male, grade 3 qualified, self-employed, married with 15 years residency in Kalingalinga) was a carpenter and slightly reluctant to engage due to meeting him at his workplace and he mentioned having a funeral to attend later. When the researcher explained that the research was on slum tourism, the participant became eager to participate. The researcher asked if participant would be interested in welcoming international visitors home, he said “Home is not a home without visitor”. The participant took us around the workshop and told us prices of various items, participant was relaxed throughout the interview and leaned on his workbench. The shop is a tent on Alick Nkhata Rd.

The next participant (a male, grade 12 qualified, self-employed, married with 10 years residency in Kalingalinga) suggested that slum tourism was a new concept and said that tourists do come from Namibia, United Kingdom and more to buy chairs and carvings made by the locals. Tourists, according to the participant stop by when a product interests them, therefore

Kalingalinga has potential for slum tourism, although a lot needs to be done with regards to infrastructural improvement. The participant mentioned that slum tourism has the potential to improve lives of dwellers although Kalingalinga has changed a lot in recent times and that government has a role to play in achieving slum tourism goals, they also mentioned the negative impact slum tourism portends such drug dealing.

The third participant (a male, University graduate, self-employed, married with 29 years residency in Kalingalinga) on the sixth day mentioned not having heard of slum tourism. Participant said that tourists visit to give support to local football clubs and that best way to engage dwellers is to empower slum inhabitants. The participant mentioned interacting with some tourists seeking business opportunities, discussed potential negative aspects of slum tourism and the need for government to put measures in place to encourage slum tourism if it is to succeed. The issue with taking of pictures was raised in the context of locals being unsure of visitor's motives.

The next participant (a female, no qualification, self-employed, widow with 23 years residency in Kalingalinga) was friendly and willing to participate in the study. Participant was a businesswoman and homeowner, who mentioned her grandson had benefitted from visitors coming to Kalingalinga. Participant said that nephew was a victim of xenophobic attack in South Africa (SA) and was not sure of welcoming visitors from SA. The participant source of income is renting out two rooms in a bungalow to support 15 of her grandchildren whose mothers had passed away.

The last participant (a female, grade 7 qualified, self-employed, married with 45 years residency in Kalingalinga) was a businesswoman, selling charcoal in the market close to the football field, her two daughters assisted her at the kiosk on the weekends. Pictures were taken with the participant's permission.

**Day 7** - The researcher met with CURP officer to finalise planning on focus group discussion with key decisions such as venue to be made. The invitation to a one-day research workshop was designed to unpack and discuss benefits, opportunities and challenges of slum tourism as a concept for improving the profile of informal settlements in Kalingalinga informal settlements of Lusaka. The invitation was sent out to various participants- Community Based Enterprises (CBE's), Know Your City (KYC), ZHPF, PPHPZ, MoT, Kalingalinga residents,



CURP and LCC (23 participants accepted the invitation), scheduled for Wednesday 25th September 2019 at Golden Peacock Hotel in Roma area of Lusaka. The sampling process was purposive, the workshop started at 09:00 and closed at 12:30 with a meal provided to participants. The organisations invited for the FG were selected for their involvement in poverty alleviation and empowerment programmes in slum settlements in Zambia. PPHPZ work in collaboration with ZHPPF assisting on poverty alleviation projects and provision of affordable housing and with KYC are engaged in slum innovation and advocacy. The participants from Kalingalinga who took part in the FG were selected due to their active participation in a women's empowerment programme in the settlement and data collection programme delivered by ZHPPF and CURP respectively. The Golden Peacock hotel was selected in lieu of George Community Centre (GCC) due to lack of available workshop amenities including projectors and generators and the stigma still attributed to slum settlements by many actors, such as issues of cholera, sanitation, parking spaces, proximity to many invitees and the need to inform dwellers at least three weeks before the programme to give them time to clean and handle other logistics such as cooking. The Centre for Urban Research and Planning (CURP) at the University of Zambia, Department of Geography and Environmental Studies were the gatekeepers, working in partnership with the University of Swansea in the UK and People's Process on Housing and Poverty in Zambia (PPHPZ).

**Day 8** – Transcription of data took place on a daily basis but due to the level of data gathered, the day was dedicated to transcribing recordings and cross-checking against field notes.

**Day 9-** The researcher interviewed a senior officer at PPHPZ and documented his perspective on slum tourism. The participant mentioned the significance of visiting places that hold unique culture and traditions such as slum settlements and that when tourists have not experienced such places it often seems they have not visited the country. The participant gave examples of Katutura slum in Namibia and the hive of distinctive activities that ensue. Participant also suggested unique ideas common in Lusaka slum settlements such as local alcoholic drinks and traditional dances which may be attractive to visitors.

The researcher later interviewed a senior officer at ZHPPF, the participant seemed relaxed but apprehensive. The participant mentioned the need for implementation of research outcomes particularly among international researchers who have visited the settlement and made reasonable recommendations. There seems to be a high level of distrust and exploitation among

many actors within slum settlements specifically towards the slum inhabitants. The participant gave the example of the difficulties in owning a home after spending over 20 years in George slum settlement. The participant has not heard of the concept of slum tourism although participant had met many foreign visitors who came to the settlement and with her position within ZHPPF had the opportunities of travelling overseas.

**Day 10-** The researcher interviewed a senior member of the MoT and went through the research questions documenting and recording the interview. Scheduling the meeting and travelling to the MoT office in the business district of Lusaka took a while and researcher had to wait for the officer to arrive as he was in a meeting. The officer appeared pleased to receive the researcher and provided answers to research questions. The officer reported limited exposure to the concept of slum tourism, and hinted that MoT is currently reviewing tourism policy and strategies to also embrace urban tourism. The participant was aware of the benefits and challenges associated with slum tourism and commented on the need for slum tourism to be solely driven by slum inhabitants.

**Day 11-** The researcher interviewed a CURP staff asking questions about slum tourism attractions, benefits, challenges and the role of stakeholders. Locating a quiet place to conduct the interview proved challenging initially as it was a University environment was noise interference from students, student and staff discussions, delivering of lectures and vehicles. The staff member mentioned not being conversant with the concept of slum tourism, although participant recognised possible rewards, participant thus questioned why slum tourism was not incorporated into universities curriculums in Zambia and annexed as apart of Ministry of Tourism deliverables. The participant spoke of the need to interview slum institutions to give new insights into the viability of slum tourism in Kalingalinga and assist in triangulation analysis of finding from slum dwellers.

**Day 12 (Focus Group Discussion) -** The FG began with the researcher (Olatunbosun Sanusi) presenting a detailed overview of the research study to the participants using a PowerPoint with a question and answer session. There was then a review of the research questions by the rapporteur (officer CURP) who divided the 23 participants into 3 groups assigning each research study questions. The rapporteur discussed the essence of the discussion and agenda and instructed the groups to record discussions on flip charts for presentation to the wider group. The first group were to review opportunities and benefits of slum tourism; second group

looked at roles of stakeholders (Government, academic institutions and more) and the third group investigated the challenges of slum tourism. The members of the groups were selected based on areas of strength and capacity to contribute to the discussion. For example, the KYC (Know Your City) slum youths focused on challenges that slum tourism could portend and participants from MoT contributed to roles of government and academic institutions. The voices of the youth were relevant as many may not contribute to data gathering at the slum household level, which adds to the significance of the FG forum. The researcher visited each of the groups to ascertain the level of discussion taking place, there were arguments, multiple opposing views and heated debates in groups one and three. This was due to the challenges raised, personal experience expressed by some of the group members and questions directed to a government official from MoT within the team.

The groups spent roughly an hour discussing the issues raised in the research questions and identified suggestions. The rapporteur and researcher collected flip charts from the groups for the presentation. It was important for participants to voice out their opinions and to engage in an exchange with other groups to further contribute to the discussion, this was scheduled to last for 30-40 minutes, with questions and answers afterwards. Group one in their submission mentioned local economic development as this supports local businesses and entrepreneurship; poverty reduction due to improved livelihoods; social networking and linkages; promotes local philanthropy; promotes and exposes untapped talents and skills and creates new areas of study and knowledge production. Group two focused on stakeholders such as government ministries, local authorities, community and academic institutions, CBO's, NGO's and professional bodies. The group suggested the need for government to - provide security; tourism marketing and policy formulation targeting slum tourism; slum profiling and mapping; community engagement, documentation and awareness creation; academic institutions – research, formulation of policy briefs and documentation; CBO's, NGO's and Faith-Based Organisation – advocacy, awareness creation, resource mobilisation and financing. Group three raised the questions of prostitution, drug abuse, theft, moral decay, loss of culture, rise in cost of living, poor infrastructure, water and sanitation, dissemination of information, political interference, lack of privacy and communication barriers.

The closing comments of the FG was delivered by a CURP officer, with a summary of information captured during the discussion including tangible observations such as how slum dwellers can be impacted by slum tourism through provision of services like lodging and short

lets. The FG participants later had a lunch and group photographic evidence was captured. The data provided in the focus group, while informative and providing additional detail, did not raise any new issues not already identified in either the desk research or previous interviews. However, the issue of the challenges of sex tourism was raised and this was examined further the next day. It was at this point that the data collection appeared to have reached saturation, with little novel insights or themes appearing to arise.

**Day 13-** Based on a review of issues raised during the FG discussion, and the patterns emanating on the likely challenges raised by slum tourism (presentation delivered by KYC member) an in-depth interview was conducted to gain further insight. The interview was to explore whether the issue of sex tourism raised was a common factor for Kalingalinga residents. The two participants selected were from previous interviews and had not participated FG discussion, this is necessary to test varied opinions. At this point no significant new information was raised during the interview, however the themes tentatively identified previously were repeated. This was the last day data collected. It will appear that data saturation has been reached, however this was also the point at which there was no more funding for field work.

### **Research Questions**

1. What are the main tourist attractions in Kalingalinga? i.e., are there suitable attractions to tourists?
2. What are the potential benefits of slum tourism in Kalingalinga?
3. What are the challenges of slum tourism in Kalingalinga?
4. What activities are stakeholders undertaking to promote slum tourism in Kalingalinga?

### **6.5 Ethical Considerations**

The goal of this research is to explore the viability of slum as an urban tourism resource and a tool in poverty alleviation in Kalingalinga slum of Lusaka, Zambia. The research explores the slum through a tourism lens and the potential it portends as an interventionist product, especially the pro-poor element linked to poverty alleviation. Although slums have received considerable mention from researchers, they are still generally being analysed from an environmental and household perspective. The aim of this study is to extend the discipline by reflecting on the complex nature of slums and the multidimensional views of what slums truly

resemble. The participants were from two groups: the residents of Kalingalinga and stakeholders.

The residents of Kalingalinga slum, Lusaka, Zambia are the main stakeholder in the slum under study and are the ones who are most exposed to the challenges of slums including those arising at the point of contact with tourists. The challenges of stigmatisation, pacification, voyeurism and infrastructure are some of the issues they may have to cope with for sustainability. It is thus imperative to understand their point of view on slum tourism and its impact.

The Centre for Urban research and Planning, University of Zambia acted as a gatekeeper in exploring Kalingalinga slum, Lusaka. The centre was approached based on its unique position as one of the main slum research institutes and their relationship with slum stakeholders and on the relationship developed by the researcher's (Olatunbosun Sanusi) pre-study tour of Lusaka slum in 2015 which involved many visits to CURP and other existing and potential slum actors. During the 2019 field study, the researcher was based within CURP and the centre assisted in recruiting a research student to support the work of the researcher and when required assist in translation. Although the main language of Zambia is English, there was the potential for a need for a translator when speaking with participants. Throughout the process, it was made very clear that the research is investigative in nature and that there are no firm plans or policies for slum tourism to be adopted in Lusaka. This was an important ethical consideration to prevent any expectations, investments or inappropriate responses that may be damaging to morale, welfare or future endeavours.

The researcher ensured all data was securely stored, documented and recorded. The interviews employed the use of audio-recording and note taking for storage of data, the researcher seek consent from the participants to record interviews prior to commencing the interview and a discussion about confidentiality and anonymity conducted. Data was not shared online or on social media. All personal and sensitive data will be destroyed after data are published and they are no longer required or valuable to future research, this ensures that data are not held longer than necessary according to Swansea University policies on limitation of data storage. The holding of data will be discontinued if data poses or raises any ethical issues. Participants are made aware of their right to withdraw from this research at any time.

The researcher was aware of potential challenges that may arise in working with slum dwellers and when discussing issues such as slum tourism which are linked with poverty, stigmatisation and voyeurism that may evoke anger in people. While many slums in Lusaka are legalized with a renewable lease of 30 years and are relatively unthreatened by eviction or demolition, often associated with protest and violent activities, there may still exist a level of insecurity and uncertainty around tenure that may cause sensitivity. The researcher teamed up with CURP who understand the local terrain, culture and tradition and were already engaged in slum research across most settlements in Zambia. For safety purposes, no interviews were conducted alone or after dark. The researcher has basic knowledge of local languages widely spoken in Lusaka, based on his initial slum tour of Zambia in 2015. Identification with emergency contact details was carried by all team members during visits.

The researcher adhered to all necessary precautions and conducted himself appropriately as recommended by the UK Government and followed advice and guidance from Swansea University, particularly on measures against violating the country's laws. The British High Commission's urgent assistance number (+260 211 423 200) and address along with local Emergency Services numbers were noted. The researcher downloaded SafeZone, a cloud-based emergency application that detects researcher location, can alert the Swansea University security team during an emergency or when the researcher is in need of general assistance. The researcher also purchased appropriate travel insurance to cover any risks associated with protection of life and property to cover the period of the research project. If areas where interviews are to be conducted are found to be unsafe, the team planned to reschedule and relocate the meeting to public or known places. The concerns of hazards such as terrorism, kidnapping, political instability, hooliganism, robbery, gangsters, and rioting were assessed as being very low in Zambia at the time. However, security challenges around hazards such as theft in slum areas may be high due to the relative poverty experienced by slum dwellers. The researcher secured all valuables in the hotel room and only visited Kalingalinga slum with research notes and audio-recording equipment to minimise such occurrences.

## **6.6 Desk Based Research**

The desk-based research involved gathering of data through telephone interviews, reviewing of grey materials and documentary evidence. The grey materials reviewed include the UN-Habitat global report on challenges of slum settlements and their slum almanacs on tracking

improvements in the lives of slum dwellers; The World Migration Report (Awumbila, 2015) and World Bank report Harnessing Tourism for Growth and Improved Livelihoods (Christie, *et al.*, 2014). As part of the initial data gathering, to understand slum complexities, the researcher further embarked on reviewing local and international non-profit institutions working in informal or deprived neighbourhoods of Africa, to establish their missions and vision statements and lesson learnt. The aim was to establish motives and the need for aid or funding particularly on poverty alleviation projects and the significance of local capacity for long term sustainability. This was crucial at this stage of the research when the role of non-governmental organisations was being reviewed by the researcher. Many of the organisations interviewed through phone calls and email focussed on disadvantaged communities and poverty, the organisation worked with vulnerable adults, young people and children. The responses from the majority of the organisation were invalid as they indicated lack of time and staff to assist with initial data request, while some were unable to respond. Just over 35 per cent of the organisations selected fully engaged and participated (see Appendix 10.1).

## **6.7 Data Saturation**

According to (Glaser & Strauss, 1967), theoretical saturation is achieved when incremental learning does not lead to the discovery of new information or data are similar to previously observed phenomena. As this is an exploratory research and due to limited literature resources on slum tourism in Zambia, the aim is to conduct a single case study. The field study adopts purposive sampling to identify participants who have lived in Kalingalinga for at least 10 years, which the researcher considers a suitable length of residency to witness changes and identify challenges within the settlement. This is also significant as a historical foundation of Kalingalinga is revealed and lesson learnt from past interventions. The timeline was planned for 13 days due to limited resources and time which is not uncommon as identified by Eisenhardt (1989).

The information-rich data from selective sampling of Kalingalinga was triangulated with multiple sources of data from grey literatures from UN-Habitat, World Bank (who are involved in documenting challenges of slum settlements globally and funding); slum stakeholders such as Lusaka City Council and Ministry of Tourism involved in governance and policy formulation; PPHPZ and ZHPPF engaged in poverty alleviation programmes and slum upgrading. To ensure validity, the data was also cross-examined during the FG discussion with

voices of the youth (KYC) actively involved in advocacy and sensitisation programmes and whose opinion is valued among youths across slum settlements in Lusaka. The community based enterprise was also invited to contribute their views and share experience, as were members of the University of Zambia and 3 Kalingalinga residents actively involved in ZHPPF programmes within the settlements, including the community worker - a resident of Kalingalinga who was part of the research field team. This iterative process is critical in developing theory and building of themes, by refining the definition of the construct and building of evidence inline with the process of building theory from case study research (Eisenhardt, 1989).

Throughout the field work study, the initial phase of data analysis (identifying themes and initial coding) was happening in parallel. By day 8, repetition of themes was starting to become clear and by day 13 no new themes were arising, although the interview on day 13 started to identify factors outside of the core research questions. As a result it can be concluded that the data reached saturation.

## **Section Two – Gathering Empirical Data in support of Initial Findings and Selections**

### **6.8 Empirical Findings (Familiarization Tour of Kalingalinga)**

The project began its empirical findings by taking a tour of Kalingalinga slum in Lusaka, gathering data through observation of slum inhabitants and their neighbourhood in September 2019. The process of familiarisation according to Whiteley and Whiteley (2006) should be a necessary practice particularly when researchers are confronted with ‘developing practical procedure for the collection of data’ or conducting ‘Interview in an unfamiliar and potentially hostile environment’. The use of familiarisation procedure as an ethnography tool for accessing vulnerable groups, which could be considered as part of a researcher’s ‘reflexive process,’ prior to conducting field research, was adopted by Cronin (2012) and Barley and Bath (2014) . Kalingalinga slum was selected due to its proximity to the Centre for Urban Research and Planning, University of Zambia (CURP) which is where the researcher was based. The location provided an opportunity to share experience and observations with other researchers.

During this phase, research involved identifying a slum tour company and organisations working in slums in Zambia with support from CURP, who continue to be engaged in slum research across Zambia and served as gatekeepers due to their local knowledge and network.



The area was examined to identify stakeholders engaged in the slum and the possible challenges the researcher needed to be aware of during data gathering. Further investigation into features of the slum was required to identify strategies to be employed in data collection and to gauge the views of the slum dwellers through close observation and discussions, this was conducted in partnership with CURP and research students sourced through them. To minimise some of the risks associated with conducting the research project in Lusaka, the researcher met with local leaders, council, other relevant stakeholders and the police in Kalingalinga slum to inform them about the purpose of research, possible impact and to provide an opportunity for them to raise any concerns and share knowledge.

## **6.9 Research Facilitation Method**

The materials used in gathering information for most research study often emanates from three sources: The primary, secondary and tertiary literatures. The use of any category of literature depends on the needs of the research, however the three groups sometimes overlap as primary literatures form the foundation of most secondary and tertiary data (Saunders et al., 2009).

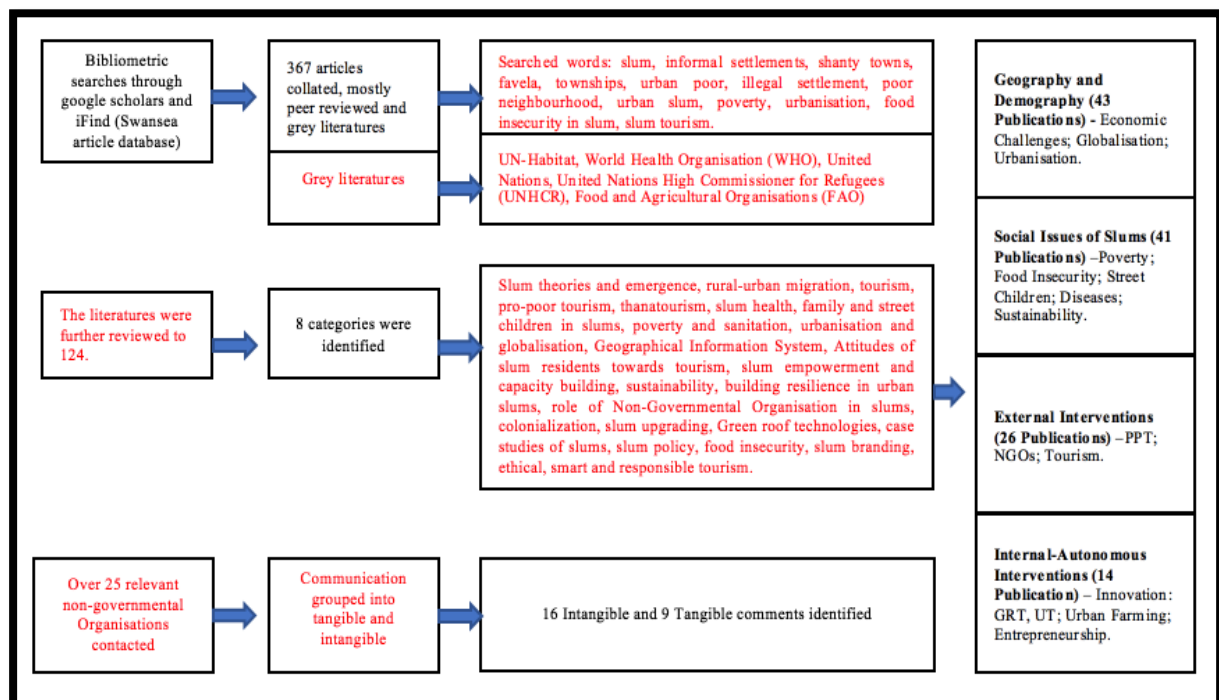
## **6.10 Systemic Review and Grey Literature**

This section outlined detailed information on various bibliometric searches and literatures reviewed linked to the development of literature review. As this is an explorative research, the section thus captured various grey materials visited, peer reviewed articles and how each category that helps in the construction of the literature review and research questions are collated such as the external and internal interventions. The initial contact with slum stakeholders also was significant as they reflect initial understanding of actors and mission of NGO's actively participating in slum settlements.

The table in Appendix B reviews secondary data that were collected from intergovernmental organisation such as the UN-Habitat and other non-governmental organisations. According to Saunders, Lewis and Thornhill (2009) secondary data are 'data that have already been collected for some other purposes.' The use of this type of data is essential as it is 'unobtrusive', allows for the examination of large sets of data, and saves time and cost in carrying out primary research, data collected could also be very rich and comprehensive (Stewart & Kamins, 1993), especially from reliable sources such as The United Nations and other internationally known agencies. The use of secondary data from such sources may support validity and reliability.

Furthermore, secondary data may also be significant in triangulating collected primary research data to find similarities or differences and could lead to discovery of new data. However, the use of secondary data may raise ethical issues as data collected may be based on covert ethical considerations. Other pitfalls include the specificity of the secondary data, which differs from the research study in question, and some data may be distorted or biased towards a specific end goal (Saunders, Lewis and Thornhill, 2009).

Additional searches were conducted on slums, tourism and poverty. Academic journals were searched using Google Scholar and iFind - which archives the Swansea University Library journals and prints, to explore slums, slum tourism and common names used in place of slum such as informal settlements, shanty towns, favela, townships, urban poor, illegal settlement, poor neighbourhood, urban slum, poverty and more. During bibliometric analysis of slums, language restriction was applied in my search of slum dwelling. Based on area of research topic, research was narrowed to no more than 24 categories of issues associated with slum research. A methodical search of reviews was conducted to identify key words in the literature, names of articles, abstract, conclusion, references and journal were documented. Grey literature on slums, urbanisation, poverty and sustainability were also reviewed. Figure 19 provides, and outlines of steps taken in conducting the literature review.



**Figure 24:** The outline of steps taken in conducting literature reviews.

While almost all the articles reviewed highlighted the problems of slum, many ignored specific names of slums. Grey material from intergovernmental organisations and conference papers seemed to be the most relevant sources providing limited access to names of specific slums, most journals based in their country of focus mentioned cities where slums are located. To locate referenced slum names, grey materials were searched especially where UN-Habitat are undertaking slum upgrading (PSUP – Participatory Slum Upgrading). The systematic search of grey materials was necessary considering the role of these bodies in international debates (Lilford et al., 2017) and the scope of data gathered on slums, housing, sustainability, poverty, food security and environment and health among others.

Names of slums were gathered from journals, however linking names of slums to peer reviewed articles proved a challenge. For example, in one of the reports 43 slums were mentioned in Lusaka and no names of slums were provided or traceable in the article (Habasonda, 2012). There seems to be a need for future research to document names of slums across the globe. Analytic tools such as Microsoft excel were used to store data and google fusion for geographical representation, due to data layout and ease of formatting.

Although slum upgrading is taking place in many African nations very few articles on slums seem to be published in Africa compared to the numerous international journals published annually. Specific names of slums are often omitted in some articles (slum invisibility), so the true nature of slum problems is not known. Over 300 articles were initially reviewed, mostly peer reviewed and grey literatures, an excel sheet created to structure sourced articles and identify key words. The literature reviewed was then streamlined to 60 and a table of research methodology adopted in the articles reviewed and documented. Analysis of 60 reviewed articles was conducted based on categories of methodology, while 40 journals that fall between 2015 and 2017 were categorised according to the year of publication, names of journals and outlooks. Evaluation of the reviewed articles was also classified based on countries and continents.

### **6.11 Sample Selection Process**

As it would have been overly demanding to collect data from the entire Kalingalinga slum population, this study selected a small sample size. This process according to (Saunders, Lewis and Thornhill, 2009) saves researchers time, money and produces data which is quick to analyse and can return a higher accuracy of data with rich data, as the sample involves a

reasonable number of people. Data collection using selective sampling was conducted through a semi-structured interview with 13 slum households as data saturation was reached within a period of 3 weeks (Creswell, 2007). As slum settlements are very heterogeneous in nature and continuously changing, it is very difficult to assume, generalise or make ‘statistical inferences’ from the sampled slum population. The selective sampling method seemed appropriate for this research study as slum stakeholders could be selected to best meet research goals and objectives. The use of the selective sampling method was buttressed by Neuman (2005) who noted its suitability in conducting case study research and when working with a reasonable sample size with intent to gather informative data. Other sampling methods such as snowball, convenience was also reviewed, but due to research criteria which includes expert opinion, and length of residence selective sampling was more suited.

The slum stakeholders interviewed in this research study were categorized in two groups:

- Internal Stakeholders
- External Stakeholders

The internal slum stakeholders comprise of the slum inhabitants who seem to be directly impacted by the activities in their slum neighbourhood. The external slum stakeholders comprise of the non-governmental organisations, independent researchers, slum tourism companies, slum tourist, slum research institutes and government institutions among others, whose natural abode may not be the slum, but whose interests are aligned with slum settlements and could be deriving some sort of benefits from this interaction.

## **6.12 Pilot Study**

There was a need, as often advised by many researchers, to conduct a pilot study before embarking on fieldwork to gather information through designed questionnaires and interviews (Bryman, 2012). This part of the research study was necessary not only to test the reliability of the research questions or structured interview designed, but to ascertain the robustness of the whole research structure. Any oversights in questions or interviews noted while in the field are sometimes difficult to correct, and could cost time and capital, which may present a major setback in the information gathering process of the research study, it is therefore advisable to carry out initial testing. The use of a pilot study was adopted in this research study through sending out interview questions to experts in the field of management and social sciences for further

review and advice, which allowed for necessary amendments to be made in the formulation of the final research questions (Saunders, Lewis and Thornhill, 2009: 394). This was a step in the right direction as it added validity and reliability to the constructed research question.

There are other reasons why pilot studies may be deployed in a research survey as discussed by (Bryman, 2012: 263). These include:

- a) for researchers to test alternative ways of asking questions and the result it may generate.
- b) for the interviewers to practice constructed questions or structured interviews and build self-confidence through testing on others.
- c) the opportunity to streamline the questions for accuracy and to gauge the responses of interviewees on constructed questions, including assessing the fluidity of the question
- d) to allow for robustness of research questions and to detect questions that may generate a similar response from interviewees and make amendments to ensure variance in data gathered.
- e) to detect questions that may be avoided by interviewees and to highlight sensitive or provocative questions to do without or reconstructed during interview.

### **Section Three - Data collection and Analysis**

#### **6.13 Data Quality**

Maintaining data quality is crucial in carrying out research, this study guarded against issues of research reliability and interviewer or interviewee bias linked to interviewer perception. As the main data collection methods are semi-structured and in-depth interviews, which are often non-structured, the research study stringently checked that data quality was maintained and consistent across all slum stakeholders. To be successful in this research, detailed planning was extremely crucial as suggested by (Saunders, Lewis and Thornhill, 2009) the following processes were put in place to achieve a quality outcome. The research paid careful attention to gathering comprehensive information about slums across the globe through secondary data, targeted towards the compilation of reliable information such as testing of the themes associated with the research study during the interviews of participants. The interview sessions were conducted in a quiet location in the slum participant's home to achieve audible audio-recording of interviews and appropriate clothing was worn comparable to the slum dwellers,

to gain participant trust as advised by Robson (2002). The objectives of the interview were explained to the interviewee to reassure them of the purpose of the study and allay any uncertainties.

The use of ‘probing questions’ was adopted during this study to focus on the research question, and leading question avoided, to eliminate possible bias in the research. The researcher’s listening and notetaking ability during the interview is also very crucial to collection of quality data, notes were taken and recorded after each interview are made anonymous, to produce better analyses and reduce bias. The researcher then recounted and checked understanding of responses with interviewees, to determine understanding or probe them further (Saunders, Lewis and Thornhill, 2009). The time allocated for each interview was considerable and raised during the commencement of the interview and not violated to build trust and respect. The research collected contextual data as recommended by Saunders, Lewis and Thornhill (2009), such as ‘location of the interview; date and time; setting of the interview; background information about the participant and impression of how well the interview went’. This information was stored separately from interview notes and coded to protect anonymity of participants. The issue of bias, which may arise as a result of cultural differences between some slum stakeholders and interviewers, may not be eliminated completely from research, so this challenge is highlighted to reduce such bias. Although, the main language of Zambia is English, there was a need for a translator when speaking with participants. This was to ensure that the participants understood the questions being asked.

#### **6.14 Data collection**

This research primarily used semi-structured interviews and group interviews (FG) in its data collection, rather than other data collection methods such as survey, questionnaires and ethnography (Yin, 2003). Semi-structured and in-depth interview are often employed in exploratory qualitative studies and in interpretivist epistemology to “find out what is happening and to seek new insights” (Robson, 2002, p. 59), contrary to structured or closed questions which sometimes seems to source for specific data. They also allow researchers to probe for further answers with reasonable influence on data gathered, although setting up an interview is time consuming, expensive and heavy on planning. These types of interview could also be adopted in mixed methods research to validate result of questionnaires (Bryman, 2012).

Focus group discussion, a qualitative strategy, was equally adopted for the researcher to “develop an understanding about why people feel the way they do” and “the opportunity to study the ways in which individuals collectively make sense of a phenomenon and construct meaning around it,” (Bryman, 2012, pp. 503–504). The use of FG could lead to disagreement among participants, which may give research a representative view of their thought process (ibid). The need for telephone interview was necessitated prior to field work to gain a general understanding of motivation of organisations towards working in slum settlements, as it was impractical to contact over twenty NGO’s (Saunders, Lewis and Thornhill, 2009).

As research data, was collected over a specific period of time, this research uses a cross-sectional observational study to examine the viability of slum tourism in Kalingalinga slum settlements of Lusaka. Cross sectional observation is used in carrying out a qualitative strategy and most case studies are constructed around gathering of data from participants through interviews in a reasonable time limits (ibid). Time horizons are often used in a case study research strategy, although the longitudinal method may provide researchers with rich data, as it is designed to capture data over a long period studying change and development. The use of longitudinal observation was not possible for this research, due to time and capital constraints. The following sub-sections delve in more detail understanding of interview and focus group data collection employed during research study.

#### **6.14.1 Interview**

This research study collected data in the slum settlement using a semi-structured and in-depth interview. Interviews as a method of data collection were selected based on the general level of education of slum dwellers who may not have been able to understand a questionnaire format. Kahn and Cannell described interviews as a ‘purposive discussion between two or more people’, they are considered a valuable means of gathering ‘valid and reliable’ information (Saunders, Lewis and Thornhill 2009). The semi-structured interviews adopted had a list of themes with questions specifically designed for the slum participants, questions were adapted during interviews to suit the participant and or to clarify points and seek understanding. The interview employed the use of audio-recording and note taking for recording purposes, the means of recording were discussed with participants prior to commencing the interview. The purpose of audio-recording the interview was to enable the replay of interviews recorded and to validate data collected. The use of note taking was vital in this research as audio-recording was inadequate at capturing non-verbal expressions. Three (3) interviews were scheduled per

day to give time for analysis of audio-recorded and reviewing of notetaking, as advised by Saunders, Lewis and Thornhill (2009). In-depth interviews were conducted based on the need to source more detailed information from some participants, through individual interviews.

One of the major challenges often encountered by researchers doing field research is gaining access to a research site (Bryman & Bell, 2003). Therefore, attention was paid to the various social actors in slums, which required seeking permission. Ram (1994) stressed the importance of understanding and respecting culture and traditions of host community or organisation particularly in entering closed settings. The relevance of key informants in this research as a window to slums in Lusaka was crucial Hammersley and Atkinson (1995). The relationship the researcher has with the Centre for Urban Research and Planning (CURP) at the University of Zambia was crucial in identifying organisations to survey and key individuals to approach within slums and organisations.

#### **6.14.2 Group Interview**

Group interviews, often referred to as focus group (FG) or group discussion were adopted in the conduct of this research, this was essential to explore the synergy between the different slum stakeholders and to gather rich and in-depth information from more than one expert stakeholders (Krueger & Casey, 2000). A focus group as defined by Carson et al., (2001) is a 'group interview where the topic is defined clearly and precisely and there is a focus on enabling and recording interactive discussion between participants.' The focus group interviews undertaken involved 25 participants. The stakeholders selected consisted of slum dwellers, local and international NGO's, research institutions and government agencies such as Lusaka City Council and the Zambia Tourism Agency. Questions directed to both the slum inhabitants and stakeholders explored perceptions of slum tourism and explored whether or not slum tourism was contributing to alleviating poverty. Approval to collect data was requested from organizations and stakeholders in Kalingalinga slum prior to interviews and especially for the recording of conversations. A full description of the outcome of this focus group is included in appendix F. The data was analysed using thematic analysis (a form of content analysis), often adopted in qualitative research study. During the focussed group discussion each participant was given ample time to contribute to research questions until data saturation was reached. Overall the focus group revealed important data about key issues in slum



settlements and acted as a relationship building exercise by encouraging dialogue between stakeholders.

The other forms of data collection include ethnography and participant observation. Bryman and Bell (2003) observed that ethnography is similar to social anthropological research studies, as researchers are expected to engage in the social practices of the intended research space, observing, listening, intermingling and taking notes of everyday occurrences as naturally as possible during fieldwork over a length of time. There is a marginal difference in definition of what constitutes an ethnographical or participant observation as each strategy contains a feature of the other, although ethnographical research is often construed as a “research process; written outcome of research; and could be a study in which participant observation is the research method” (ibid). Participant observation or ethnography was not adopted in this research as the research does not attempt to be immersed in the day-to-day activities or study behaviour of slum dwellers or society.

#### **6.14.3 Telephone Interviews**

This research conducted telephone interviews with over 20 non-governmental organisations working in slums globally to gather information on the challenges in slums and the mission and vision of those organisations in the slum settlements. These data are essential to understanding the challenges facing slums and why the interventions are needed. In contacting stakeholders, a mixture of phone calls and email employed.

Their replies were also gathered and documented (see appendix A). This was one of the cheapest and fastest ways of gathering data and interacting with urban stakeholders and it also reduced the complications associated with scheduling. Some of the challenges of conducting telephone interviews is in gathering sensitive information or engaging in sensitive conversation which could dissuade participants from contributing to discussion, which may affect research reliability (Saunders, Lewis and Thornhill, 2009). Other challenges that may be associated with conducting interviews over the telephone is the challenge of note taking while on the telephone and the inability to record participant non-verbal gestures (ibid).

#### **6.15 Data Analysis**

Data analysis is required to evaluate the transcribed data collected. The data gathered was analysed and tested against four commonly used quality control measures of social research

findings: Construct, Internal and External Validity and, Reliability (Yin, 2003). One of the main challenges behind analysing data with qualitative techniques is to constrict the amount of data gathered to a meaningful size present it using a variety of standard format available (Bryman, 2012). Due to the magnitude of data to be gathered and coding associated, some researchers describe qualitative data analysis as an ‘attractive nuisance’ and ‘analytic interrupts’ (ibid). The study conducted a thorough and rigorous process of data transcription ‘reproduction of audio-recorded data as a written account using the actual words’ and analysis to be able to induce theory from data gathered’ (induction approach) (Saunders, Lewis and Thornhill, 2009). The transcription process was necessary to generate a meaningful discussion from the data under analysis. However, considering the explorative nature of qualitative findings and associated complexities within slum environment, rich data was generated from the non-structured method adopted which required a thorough and structured condensation process.

The qualitative data analysis involved grouping of participant reactions to research questions into different categories and ‘identifying relationships between categories’ as observed by Saunders, Lewis and Thornhill (2009). The grouping of qualitative data was analysed through the development of a conceptual framework of slum tourism developed in (see Chapter 4) formulated before data collection in Kalingalinga slum. The advice of Marshall and Rossman (2006) was adopted in this research who suggest that the process of data analysis and data collection should commence concurrently. Errors encountered during data transcription, were reviewed by the researcher and cleansed. There are two key approaches to data analysis, the inductive and deductive approach. The inductive approach to data analysis was adopted in this study, as this research did not work with a theoretical framework from inception and was set out to develop a theory based on qualitative data gathered. NVivo, a qualitative data analysis software was used for the analysis of the data, although this research could also be analysed using other software such as ATLAS.ti<sup>TM</sup>, HyperRESEARCH<sup>TM</sup> or manually (Saunders, Lewis and Thornhill, 2009). Using the manual method of analysis allowed for the capturing of non-verbal information such as gestures and body language but takes time. In qualitative data analysis, there are three identified processes often used, which includes summarising (condensation of data into meaningful format), categorisation and structuring (using the tool of storytelling or narrative to evidence the activities and engagement with participants) although, there is however no one specific way of analysing qualitative data and these processes could be jointly applied (ibid).

This research adopted the categorizing qualitative data process, where different categories emerged from the data gathered and relationships between various categories were further explored, then begun the process of testing of these connections to generate meaningful information from the analysis. The categories (codes) developed from the slum tourism theoretical framework are based on the goal and objectives of the research, as different researchers seek for distinctive research ends. The categories developed should be ‘meaningful in relation to the data (internal aspect) and meaningful in relation to the other categories (external aspect),’ (Dey, 1993). Further analysis of these categories often revealed stronger links between categories and improved hierarchy (Strauss & Corbin, 2008). The data once categorised was attached to different units of data using NVivo, this was essential in generating a more structured and simplified format.

The data gathered through interviewing Kalingalinga participants, institutions working with slum settlements and FG discussion were recorded using a Dictaphone. An attempt was made to transcribe using google voice but failed as the accents of the dwellers were not accurately recognised with incorrect sentences introduced. Manual transcription was therefore necessitated, although this process was slow and time consuming it provided an opportunity to be immersed in the data and seek the underlying meaning of the rich descriptions being used. The documents were transcribed, cleansed and stored using Microsoft word and later imported into NVivo for analysis. NVivo is equipped to process unstructured data types such as word documents, excel and pdf. The transcribed data was formatted using NVivo source structure style and each response was coded in nodes to explore emerging patterns from the data transcribed with further arrangement of the data to better communicate findings. The research data was also used to generate a word frequency image to gain more insight, exploring usage of specific words mentioned including trends, themes. The word frequency was further explored to generate word cloud images from NVivo, the bigger the words the more frequently the word been used by participants. Through a search text query, a word tree was generated for each of the themes created showing relationship with branches. For example, capacity has a branch named building which was further explored to reveal comments such as development, skills and potential, while opportunities as a theme revealed branches such as investments. The word tree and cloud support data visualisation and dissemination. Matrix coding of data uncovered intersection between items and found patterns in the data such as the relationship between tourism interaction and infrastructural development. Comparison diagrams a feature

of NVivo that shows commonality and differences among data gathered were also analysed to reveal commonalities on slum tourism knowledge, poverty alleviation and tourism assistance, the result suggest that some participants acknowledged a link between tourism assistance and poverty alleviation, while others raised issues of slum tourism and poverty alleviation, and tourism assistance.

#### **6.15.1 Thematic Analysis**

This project used thematic analysis (a form of content analysis) to offer meaning and add value to slum tourism research findings. This method of extracting themes (categories of data recognised by researcher) and exploring words in research study is usually the appeal of the qualitative research method, collected through the inductive approach. The theme of any research could be derived from reviewing literature of the subject area, scrutinizing of research questions raised, researcher lessons learned from past projects, and through ‘repetition and usage’ in literature (O’Leary, 2004). As the research method adopted in this study is qualitative, systematic thematic coding seemed a most suitable approach, in line with the data analysis method adopted. Thematic analysis is described as a very demanding method of recognizing ‘recurring themes and patterns’ in collected data, which involves coding and construction of the theme in the data collected, after transcribing and could also be adopted to analyse different types of data regardless of the volume of data gathered, due to its adaptability and it is also not restricted to any research philosophy (Nisbett, 2017; J. Thomas & Harden, 2008). Coding in thematic analysis is referred to as ‘a process whereby data are broken down into their component parts and those parts are then given labels,’ (Bryman, 2012).

The process of Thematic analysis as analysed by Nisbett (2017) involves four main rigorous and time-consuming steps which include:

- a) ‘identifying of themes (implicit and explicit)
- b) data classification by further reading and coding
- c) theme development and review (note-making and visual mapping)
- d) Theme development’

#### **6.16 Research Objectivity and Bias**

As this research adopted a purposive sampling method and only considered participants for interview based on years of residence, the result may be biased towards them and their views

and may not capture data from new migrants to the slum space. The purposive sampling method seems appropriate for this research study as slum stakeholders could be selected that best meet research goals and objectives. The use of purposive sampling method was buttressed by Neuman (2005) who noted its suitability in conducting case study research and when working with a reasonable sample size with intent to gather informative data. This research is not, however, designed to be generalisable or collect data from new migrants who may not be privy to Kalingalinga historical background or have experienced slum tourism over time. It could be argued that an assumption has been made that seasoned slum inhabitants have the capacity to provide accurate reflections of happenings in the slum. There is the chance that long-time residents may have wanted to portray a good view of the slum and the opportunities that are untapped within the slum which could further skew findings. Reflections may therefore be less objective and provide an imbalanced description of reality and the challenges and opportunities that could be overcome or realised respectively.

This research aspired to be objective but had to consider that not all slum settlements or inhabitants are open to welcoming slum tourists (including researchers) and while some may be welcoming others could be hostile. This may be due to limited exposure to foreign visitors or as a result of mass tourism and/or poverty tourism and the voyeurism and stigmatisation associated with it. The likely impact of slum tourism in regard to poverty alleviation and capacity building potential through the adoption of pro-poor slum tourism may be negligible and subjective as no two slums are the same. Some slum settlements across the globe have, however, experienced transformation through investing in urban settlement regeneration, which has bolstered slum tourism activities and multiple local initiatives, which appear to contribute to slum visibility and may reduce urban poverty and generate local revenue.

The sustainability of this growth could be dampened by various factors including political and environmental changes and security issues which could impact the continuous flow of tourism to poor areas and could halt the generation of foreign direct investment and may contribute to urban poverty. The researcher was aware that there are issues that affect the objectivity in this research and endeavoured as far as possible to take this into account at all stages of this research. As this research, does not cover all categories of people living in slums, there may be a need for future research to consider data collection on the views of some of these dwellers including new entrants documenting their journey and travail in slum and exploring whether early intervention or group specific (e.g., women or youth) intervention could be instrumental.

### **6.17 Research Validity**

The issues of validity, replication and repetition of research findings are important in justifying the need for this research on slum. These three criteria are often used in evaluating business and management research work (Bryman & Bell, 2003). The term validity in this research covers measurement (measure or construct validity of research), internal (causal relationship), external (generalisation of research findings) and ecological validity (ascertain whether research findings resonate with natural environment). Hence, it is imperative in qualitative research for researchers to be reflexive, be mindful of their own interpretations of actions, values and bias in relation to the research environment (slum settlement) when conducting research (Pink, 2001; Plummer, 2001).

The validity of the research study was determined when carrying out the pilot study, with the assistance of experts in the School of Management (Swansea University, UK), other professionals in the field of social sciences were sought to critique and analyse the proposed research questions. The research questions were amended to reflect suggested changes and finally adopted in gathering essential research study data. This research study focused on a slum settlement in Lusaka, Zambia (Kalingalinga) and was not designed to generalize findings as no two slums are the same. The case study approach, which is often linked with qualitative methods was employed, while several researchers consider the value of using case study as an appropriate research design strategy, some question the validity of case study research (Bryman & Bell, 2003), especially its external validity. One of the key principles of case study is in its ability to advance theory development before gathering of data (Corbin & Strauss, 1990), this research thus upholds such principles and the benefits it portends in the generalisation of research outcomes. Yin (2003) in his analysis stresses the fact that this exercise is paramount either when the researcher is using a case study to confirm a theoretical stance or develop new ones.

Research validity is essential in this qualitative study as it checks the researcher's personal biases and ensures accuracy of the findings, analysis and conclusion reached. To ensure validity, a moderator and rapporteur were engaged during the conduct of the FG and the participants were invited from different institutions. Amongst the group were policy makers, slum dwellers, NGO employees and civil society organizations from slum communities, which sought to capture a true representation of Kalingalinga's key stakeholders. The data gathered were also triangulated, for example data gathered from FG was triangulated with data from household participants and

institutions. The data gathered seems consistent with findings from slum grey literatures and general understanding of slum tourism.

### **6.18 Research Robustness**

The credibility of the research findings is central to the reliability, validity and acceptance of this research. This study guard against threats that may be associated with reliability and validity of research study which may lead to errors or bias. Saunders, Lewis and Thornhill (2009) suggested that to test the validity of research ‘conclusions are verified by their ability to withstand alternative explanations and the nature of negative cases’.

The use of semi-structured and in-depth interviews collected real time occurrence of events taking place in the Kalingalinga slum, which may make the data collected difficult to generalise or repeat, as does the fast-changing complex nature of the slum community and the divergent opinions of stakeholders. This stance is seconded by Marshall and Rossman (2006) who suggested that the ‘flexibility’ observed in the non-standardised data collection approach was necessary to be able to navigate the complex and dynamic nature of slum neighbourhood. Lessons can, however, be learnt from findings generated from Kalingalinga slum, which may be applicable to some other slum studies carried out in Lusaka, Zambia.

Overall, the voice of the people, found to be of paramount importance in the construction of the conceptual framework, was sought in the research for robustness. At every stage of data gathering the voices of the participants were captured. Kalingalinga slum dwellers were interviewed, as were institutions working with Kalingalinga slum, including NGO’s and policy makers. The tour guides engaged for the tour of Kalingalinga were experts on settlement who still work and conduct research there.

### **6.19 Research Ethics**

The ability to gain meaningful access to a slum settlement to carry out fieldwork in the host country could present a crucial issue, as this is linked to meeting research study objectives and answering of research questions. As informal settlements are exposed to challenges such as voyeurism, stigmatisation, poverty among others, understanding the various ethical issues that may arise was vital in mitigating against unpleasant developments.

Therefore, research ethics is more than just how researchers should behave, it also extends to how:

- a) Research questions are formulated, and research topic classified
- b) Research is design and access to organisation or community gained
- c) Data are collected, processed, stored and analysed
- d) Research findings are presented (should be in a moral and responsible way)

This research invested substantial time in gathering secondary data to explore the various uncertainties that may have been associated with slum tourism and slum settlement research in Lusaka and partnered with The Centre for Urban Research and Planning (CURP), University of Zambia who served as a gatekeeper to Kalingalinga slum. They were selected because of their research in urban slum development and mapping of slum settlements in Zambia and also based on their proximity to Kalingalinga slum which reduced time and cost to travel to field of research. The use of a gatekeeper however sometimes carries risk, which may be ethically connected.

The main ethical consideration to be aware of by researchers is the prevention of harm to oneself and other forms of harm that may be linked to the way researchers seek ‘consent, preserve confidentiality, collect data and how they are use, analyse and report’ (Saunders, Lewis and Thornhill, 2009). This extends to the protection of participant sensitive personal data; the study ensured autonomy for interviewees to be anonymous and decline responses to some questions. As many slum settlers, may not be formally educated, participant information (see appendix C) was provided verbally, while in the case of other stakeholders such as the Zambia Tourism Board and CURP, participation information sheets were administered.

The secure storage of data was abided to by this research, as negligence of proper storage of stakeholder’s data and the unlawful processing of them may have resulted in participants ‘embarrassment and harm,’ (Cooper & Schindler, 2008). As the gatekeeper are resident in Zambia, it was assumed by this research, that they understood the culture and traditions of the host country and were in the best position to provide guidance on acceptable behaviours and social norms while conducting research in the host country. The maintenance of appropriate behaviour while conducting fieldwork is essential in reducing the impact slum tourism research may have on slum inhabitants and other stakeholders. To address some of the challenges associated with consent of interviewees in Kalingalinga, slum settlers were invited to complete



a consent form, to confirm that they understood the research study and were willing to participate.

Participant Information Sheet Kalingalinga Slum Settlement, Lusaka Zambia	
Research Project Title	Slums as an Urban Tourism Resource: A case of study of Lusaka, Zambia.
Invitation	Please take time to read the information provided in the research project below before deciding whether to answer any question. Feel free to ask for clarification if unclear about any anything.
What is the project purpose?	The aim of the research is to investigate the feasibility of slum tourism in Lusaka and explore its potential impact on poverty alleviation.
Why have I been chosen?	You have been chosen because you have lived in the slum for more than 5 years or have been engaging with slum inhabitants.
Do I have to take part?	You can decide whether to participate or not, and have the right to withdraw from the research project at any time. No reason is required for dropping out of this research.
What will happen to me if I take part?	As an interviewee, you will be asked various questions about slum tourism and its implication for urban slum dwellers.
What do I have to do?	Please answer the interview question to the best of your knowledge.
What are the possible disadvantages and risks of taking part?	The interview questions are not designed to cause you any harm or displeasure.
What are the possible benefits of taking part?	There are no financial benefits to be derived from participating in this research.

What happens if the research study stops earlier than expectedly?	The researcher will advise at the earliest opportunity if the project is cancelled and if you are impacted in any way.
What if something goes wrong?	A member of the research team should be available to answer any queries arising from the research. Should you feel the need to progress any queries or complaints please contact Swansea University, School of Management.
Will my taking part in this project be kept confidential?	All data gathered from the research project will be anonymous and confidential. Data stored online will be password protected and encrypted where necessary and will not be shared with a third party without the interviewee's knowledge.
Will I be recorded, and how will the recording be used?	The interview will be audio-recorded, with permission from the interviewee, and recording discontinued if permission is withheld at any time.
What type of information will be sought from me and why is the collection of this information relevant for achieving the research project's objectives?	The information provided in this interview will be used to ascertain the potential of slum tourism in Kalingalinga.
What will happen to the results of the research project?	After this research project, the result is analysed, and conclusions drawn. The result will be published and interviewee can be given access to the publication on request.
Who is organising and funding the research?	This research is self-funded and organised by the researcher with the support of Swansea University and Centre for Urban Research and Planning, University of Zambia.
Who has ethically reviewed the project?	This project has been ethically reviewed by the ethical review committee Swansea University, UK.
Contacts for further information	The school of Management

	Swansea University, UK.
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**Table 12:** Participant Information Sheet (PIS)

**6.20 Summary**

This research adopted a social constructive qualitative epistemology to examine the viability of slum tourism in Lusaka, Zambia distancing from a voyeuristic, unethical, exploitative stance to a more sustainable, pro-poor, urban resource viewpoint. The research used a single case study approach while following an inductive route in gathering relevant empirical data. Data was collected through focus group discussions and semi-structured interviews. To bring the research to a conclusion, thematic analysis, which is a form of content analysis, was conducted from which recommendations and general discussions were derived. Qualitative research was conducted at both household and organisational levels; this was necessary to understand the viewpoints, limits and requirements of stakeholders engaged in slums activities. The slum environment is a social space with many players and perspectives; thus, this research follows a social constructivist paradigm position. This philosophical position known as the interpretive paradigm is concerned with how humans internalize or make meaning of the world around them. The role of the researcher in this position is not to suggest a radical change, nor take a functional or objective stance to slum challenges, rather to gain insight.

## 7 FINDINGS

### 7.1 Introduction

This chapter presents the findings of fieldwork conducted in Kalingalinga settlement in Lusaka, Zambia. It begins with a demographic profile of the slum participants, followed by economic and social activities and finally the researcher's reflections and observations based on information gathered in 2015 and 2019, documented through pictures, note taking and voice recordings. The socio-economic, infrastructural development and environmental elements of the community were captured during the tour and through semi-structured interviews, focus group discussions and in-depth interviews, analysis of which is presented in Chapter 8.

Data on stakeholders in Kalingalinga is also presented including the role they play in slum attraction and commodification, based on research themes. In total, 19 participants and residents were interviewed (13 participants from Kalingalinga settlements and 6 key respondents from stakeholders actively engaged in slum settlements) and urban tourism officials (3 LCC officers; 1 MOT officer; 1 PPHPZ officer; 1 ZHPPF officer), including focus group discussions (23 participants) and in-depth interviews with 2 participants identified from previous interviews in Kalingalinga (dates of interviews, demographical details and other relevant information are detailed in appendix).



**Figure 25:** Location of Kalingalinga in relation to economic infrastructure, other settlements and more formal residential areas. Highlighted shape (yellow) within Kalingalinga is Kalingalinga Primary school. Source: Adapted from Google Earth, February 2020.

Data saturation was achieved during the research study in Kalingalinga slum settlement as redundancy was reached after interviewing 13 participants and gathering more data through

sampling may not have led to the generation of new information related to the research questions. The fieldwork study began with interviews with Kalingalinga residents reflecting on their understanding of slum tourism and interactions with tourists, who they either perceived as investors or genuine tourists. Many participants mentioned low exposure to tourists in the settlement, although they had observed tourists visiting and engaging in various forms of economic activity. The willingness of participants to welcome and accommodate tourists was well expressed, as were ideas on attractions and challenges. Similar convergences were found in the lack of infrastructural development within Kalingalinga for tourist attraction, and likely associated challenges perceived by slum residents.

The consensus on the potential of slum tourism to enhance capacity building, economic development and poverty alleviation was evident across participants. For analysis, NVivo 12 (Qualitative data analysis software) was employed in the identification of research themes gathered from responses of participants to the research questions and focus group discussions; the data were comprehensively used in the compiling of findings and analysis (see Chapter 8). The photographic evidence of slums past and present is reviewed and presented, revealing the state of socio-economic changes taking place in Kalingalinga settlement. As slums are sensitive and largely hidden neighbourhoods, it was essential to ensure knowledge and advice on slums and dwellers was sought to optimise efforts in the navigation and understanding of slums and their inhabitants, expert panels were utilised to aid and guide fieldwork. Below is evidence of past and present materials used in the building of houses in the settlement. Other photographic evidence of states of Kalingalinga slum settlement, including pictures of the drainage system, sanitation level, market and urban spaces are also documented (see figures 22, 28 - 42).



**Figure 26:** Kalingalinga building constructed primarily from mud, with roofing sheets weighted down with stones. Source: World Bank (2001).



**Figure 27:** Some of the different materials (mud, stones, bricks) used in the constructions of houses in Kalingalinga slum settlement, 2019.

The sections that follow provide a profile of Kalingalinga slum settlement, built from information gathered during fieldwork interviews with participants and stakeholders. Detailed of outcomes from focus group also provided insight. This detail included in Appendix F.

## **7.2 Profile of Study Area**

### **7.2.1 Participants Demographic Information**

This section documents the demographic information of 13 participants living in Kalingalinga slum settlements. The data captured comprises of the academic backgrounds, gender, age, employment, marital status and length of residency of participants. The research employed a selective sampling method in identifying participants, the statistics revealed variations in the level of education, length of residency, employment status, marital status and occupancy within the settlement. Many of the participants interviewed were located within the upgraded area as captured by the World Bank in 2001(Plate 3). The researcher's fieldwork covered a wide cross-section of Kalingalinga, with a total of 13 residents (8 women and 5 men) interviewed (data saturation achieved). The population of Kalingalinga was estimated to be between 35000 and 45000 in 2007 (LCC. Lusaka City Council, 2008; Mulenga, 2003), which is composed of 18,462 women or girls and 11,538 men or boys living within the upgraded area of the settlement.

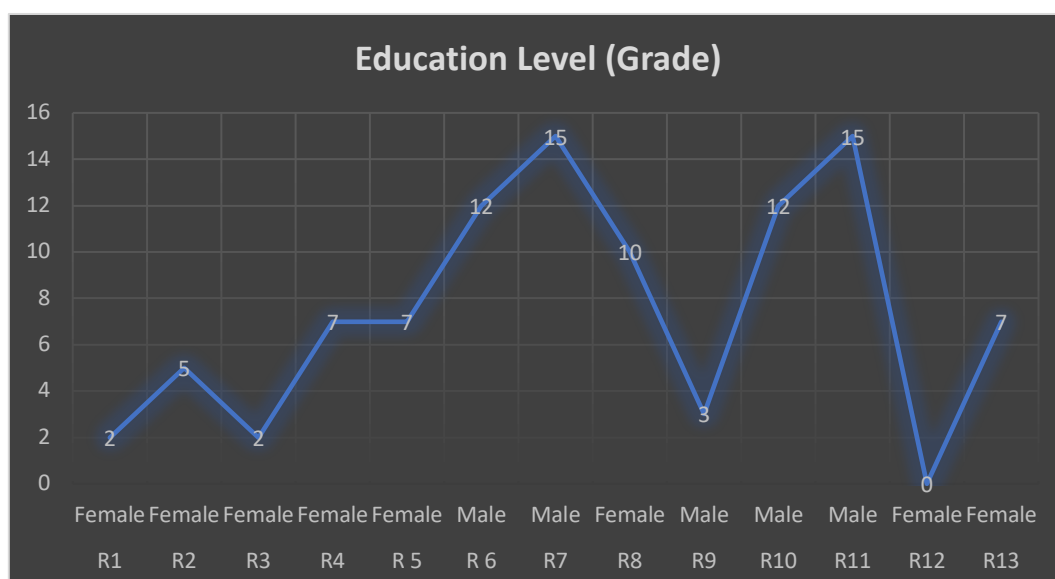




**Figure 28:** Kalingalinga upgraded and spill over areas. Source: World Bank (2001).

### 7.2.2 Education and Gender

The educational system in Zambia employs the 7-5-4 system of academic delivery, from primary to tertiary. The Primary level is between Grade 1-7 which spans 7 years, 5 years for high school and 4 years spent in the University (tertiary). The tertiary level is the highest level of education in Zambia and weight of 15 was allocated in the chart below. As seen in figure 29 the level of education based on gender was lower in women than in men and the highest education grade achieved by women among the interviewee was a high school (Grade 10). The data also revealed that a considerable number of the participating women only achieved primary school standard, while some of the male participants attended tertiary institutions.



**Figure 29:** Education level of Kalingalinga interviewed slum inhabitants.

### 7.2.3 Employment Status

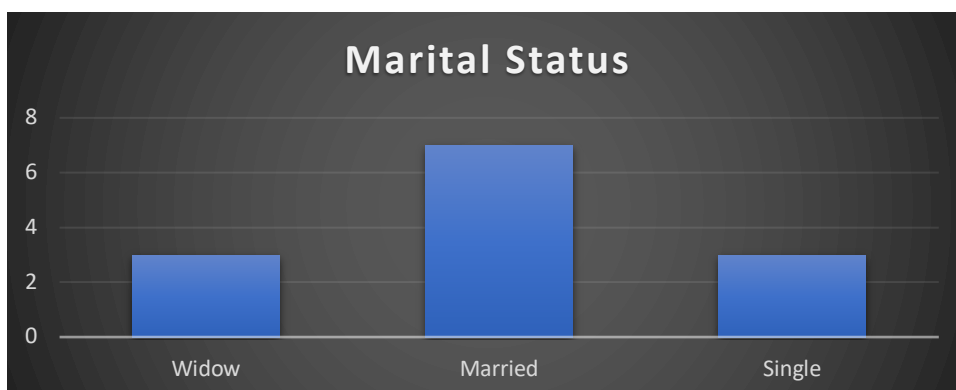
As shown in figure 30 below shows a high level of self-employment among participants engaged in the research study. The unemployment figure presented is mostly visible among women who have lived within the settlement for more than 20 years and are homeowners. A typical business observed among women in Kalingalinga is renting out of rooms within their household, charcoal business and charging for reticulated water supplied by the government. Other self-employment opportunities observed among men and women include making of local furniture and pottery business. The level of people claiming to be self-employed was higher than those who reported being unemployed.



**Figure 30:** Employment level of Kalingalinga interviewed slum inhabitants.

### 7.2.4 Marital Status

The marital status of the Kalingalinga participants was split between widow, married and single interviewees as shown in figure 31. There were a high number of married people (over 53 per cent) in the group compared to participants who are widowed or single.



**Figure 31:** Marital status level of Kalingalinga interviewed slum inhabitants.



### **7.2.5 Residency and Home Ownership**

Slums are dynamic environments with diverse populations. The residential buildings in Kalingalinga slum are mostly bungalows, with the exception of a few story buildings, which are being built due to the gentrification process-taking place in the settlement. The typical bungalow structure comprises of at least two rooms in each building, in many cases housing more than two families. Many of the houses are built of materials such as bricks, stones and concrete and a few are made of mud.

#### **Evidence of poor infrastructure.**

The houses in most parts of the settlement appear incomplete, with bathroom facilities often located outside and most toilets being pit latrines. Some of the newly built structures are fenced with brick walls or wood raft and gated, while many are open with trees planted for shade and protection or varieties of flowers planted. The material used for the roofing of houses is mainly aluminium sheets (corrugated iron sheets) similar to those used in the construction of some of the market kiosks with heavy stones used by some to weigh the roofs down and protect against climatic affects. A few of the houses especially the gated ones have boreholes used for drinking water, cooking, washing and as a source of income. Many of the dwellers have clothes spread outside, the housing conditions of most residents are poor, with some of the houses in the community lacking doors and windows which are replaced by mosquito nets and sometimes blinds or chitenge (colourful patterned African fabric).

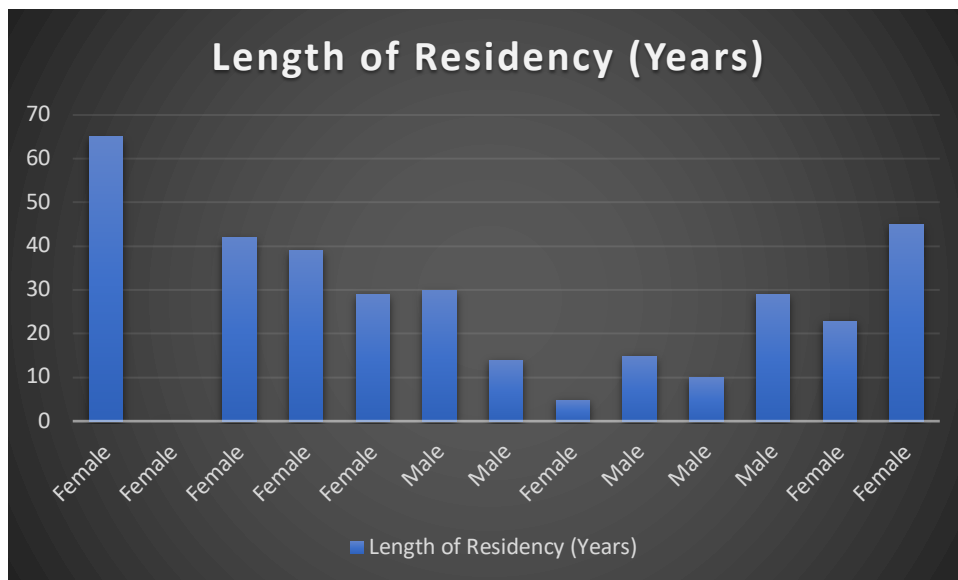
The Kalingalinga participants interviewed were of a mixed gender and generational age. Some of the participants were born in Kalingalinga and have been living in the community since then, many of them were also homeowners who heavily rely on rent from tenants. The challenges associated with security of tenure were issues commonly expressed by participant homeowners observed in Kalingalinga. While the structures are owned by the dwellers, the land belongs to the government which is still considered an unauthorised settlement. The length of tenancy can be an issue for slum dwellers when the length of residency can be over 60 years i.e., their entire life as shown in figure 32. The lack of adequate infrastructure attracts tourists to Kalingalinga settlements, these tourists include investors and organisations with missions that include capacity building and poverty alleviation. This can be linked to the classical theorist view on poverty which suggests that the dwellers co-create the poverty space as observed and are complaisant in the level of infrastructural development and engagement with stakeholders (Davis and Sanchez-Martinez, 2015). The attraction to poverty is discussed in Phase I of the

conceptual framework as a component of the slum resource that gives visibility to the settlement (see figure 21). The dwellers should be responsible for the kind of neighbourhood and future they aspire to build including the economic impact and integration with the formal urban society (ibid). Their involvement at each stage of the slum tourism process is therefore paramount.

The following illustrates some of the comment's participants felt may be realised with investment in infrastructure:

*“The government needs to improve our infrastructure and provide attractive activities that will make people from other countries come. I think all the tourists go to places like Livingstone to see the Victoria Falls.” (Participant 2).*

*“I believe there is potential for improving people's lives through tourism, but it has to also be associated with good infrastructure and investment to improve our community for tourists to come.” (Participant 4).*



**Figure 32:** Length of residency level of Kalingalinga interviewed slum inhabitants.

### 7.3 Kalingalinga Tour

The initial observation from touring Kalingalinga slum settlement revealed an upscaling of commercial activities taking place within the neighbourhood, with the dualization of major roads around the settlement and construction of new structures principally along the major

roads proposed for potential business owners or start-ups. The other structures being constructed within the settlement are intended for schools and hostels that are being built to accommodate tertiary students especially learners from University of Zambia, Lusaka. The slum tour revealed the socio-economic, infrastructural and environmental, tourism and capacity building elements of the settlement and are discussed in the section below.

### **7.3.1 Economic Activities**

The tour of Kalingalinga revealed various informal economic activities being undertaken by slum dwellers which could be classified as micro, small and medium enterprises and that appear to have a significant bearing on slum dwellers living standards, ability to invest in housing and place limitations on business activities they can participate in. Some of the micro and small enterprises slum dwellers are engaged in include the operating of small grocery stores, and charcoal selling with some stalls being operated by the roadside. The main market serving the community is situated next to the football pitch and the government run primary school. Retail stalls are sometimes concentrated in a central place for easy access by the community or external buyers, although some are spread across the settlements, in houses designed with duality of purpose in mind (housing and commerce). Other products being marketed within Kalingalinga include second-hand clothing and locally made drinks, handicrafts and curios.



**Figure 33:** Artisans in Kalingalinga weaving chairs for sale to local buyers and tourist





**Figure 34:** A businessman (carpenter) in Kalingalinga completing woodwork. Beside is a display of a metal framework design and fabricated in Kalingalinga.



**Figure 35:** A sculptor selling pottery on Kalingalinga roadside.

The artisans in figure 33 are part of a team of local businesspeople who design products such as woven furniture for hotels and homes. The workspace is centrally located on Alick Nkhata road and tourist are attracted by the quality of products and creativity on display. The team mentioned sourcing raw materials locally and weaving by hand. The workforce mainly consists of women and each person is capable of producing three items per day if focused and undistracted by other events like sales and marketing. The price of an average stool is 400 Kwacha (approx. 12 pounds sterling), but overhead costs are relatively high as commented by the artisans. The team were happy to receive the researcher and relaxed, also content with pictures being taken, unlike some participants who raised concerns about motives behind

picture taking. The artisans in figure 34 shared the space (front part of the workspace) with some of the team in figure 33. Activities witnessed include filing and smoothening of the raw materials (wood) and shaping to sizes for onward assembly and weaving by the team in figure 33.

The other businessman in figure 35 is a sculptor located on Kamloops Road, Lusaka- a major road bordering Kalingalinga. Raised in Kalingalinga, and markets produce to tourists, businesses and local buyers. There were apprentices who worked with the sculptor to learn the trade of pottery, mostly young apprentice who are eager to acquire knowledge and engage visitors. The pottery is produced on site with pieces being cast and dried. The produce are usually left on the road after closing of business and the sculptor mentioned not having security concerns. This gave the sense that it is a community that looks after their own and that there some level of safety for dwellers.

### **Evidence of entrepreneurship**

Many slum inhabitants who set up and own shops along the major roads in Kalingalinga (such as Alick Nkhata road) are involved in manufacturing of chairs (locally weaved) and other furniture, metal fabrications and welding, while those without shops are mainly in pottery and food making which is displayed along major roads in Kalingalinga. The slum settlement is known for activities explained above and many tourists are attracted to Kalingalinga based on the quality of their locally crafted produce such as weaved chairs, used in many hotels and offices in Lusaka, and metal fabrications for use in children's play areas and gardens.

The business sector in Kalingalinga is mainly informal with marginal start-up cost. Small businesses common within the settlement are the sale of cooking ingredients, charcoal, locally made ice-cream, snacks and bread, mainly managed by women. The women are more open and expressed in conversation with the researcher on concepts such as credit unions, education of wards and the challenges slum tourism portends. Throughout the fieldwork, the women engaged the research team about the motives of the research and whether there were any benefits attached. Many of the women observed had their children or grandchildren sitting around them or at a close distance. Some women appeared not to own mobile phones, if they did, no calls were received during the interviews. The men were mostly engaged in the construction, pottery and manufacturing sector with informal workshop spaces along the road and sometimes within the informal settlement. The activities of the men, particularly those

engaged in welding and car repairs, are dependent on electricity supply. Their opening hours tend to be dictated by the availability of electricity which can be sporadic. As a coping mechanism they sometimes take work home when electricity is available. There are some dwellers who specialise in embroidery and tailoring within the common areas and a number of bars. The artisans display their crafts on the main roads passing through Kalingalinga for tourists and local residents. Limited space on these roads pushes some artisans to display works within Kalingalinga settlement as observed. The lack of distinction between the workspace and homes generates a high level of noise and unending activity late into the evening and keeps the community alive longer than most urban areas in Lusaka. However, these skills are unequally distributed within Kalingalinga and greatly influenced by market price and competition (Davis, 2007). Phase I of the conceptual framework revealed activities and engagement with tourist can foster relationships and interactions.

The comments below, taken from interviews, provide insight into the state of economic activity in Kalingalinga.

*“Because these guys will get to that community and would want to buy even a bottle of water, you are leaving money in the community. You want to have a local meal, local cuisine, you are going to empower those men and women who are involved in that kind of things. Those who are doing crafts, you are going to empower them like you know what do you call it? Even the guys who run like the bars whatever, 'Shebeens (small bars)', whatever you know, and it also gives a certain level of dignity to the inhabitants or residents. They really feel proud like you, I'm from this slum. You know what I mean, it's good for image building for those respective slums.” (Stakeholder P).*

*“Some come for soccer related reasons, such as Grassroots Soccer NGO which deals with soccer. Additionally, tourists buy items in the community. Whites usually buy things like traditional artefacts and African drums. I have seen them buy such because at some point I used to supply beads to foreigners.” (Participant 8).*

*“Yes, it can lead to poverty alleviation because income or money will come to the community when tourists buy commodities that people make. And, also through the creation of local groups aimed at alleviating poverty.” (Participant 1).*

*“Like coming to Kalingalinga, some of the things that you can actually go and get in Kalingalinga are from those people that are doing metal fabrication, we know they are found in Kalingalinga; you want to get those people that are in construction and doing those flowerpots and everything, you get in Kalingalinga. That is what the place has been known for. So, those are what the gentrification now is taking out.” (Stakeholder L).*

*“Kalingalinga is transforming as a result of some tourism. Foreigners are coming in and buying off property that is close to the roads and upgrading them. Jobs are being created by employing our children and ourselves in the malls and offices that are being opened especially by Chinese and Indian investors.” (Participant 9).*

*“Tourists come with different motives, and I believe others are business minded. They come to explore opportunities where they can invest their money while others are academicians are merely conducting research and others come to just have an appreciation of what slums like Kalingalinga are like.” (Participant 10).*

*“Most tourists who I see just pass through Kalingalinga. Some buy reed chairs and baskets from the locals along Alick Nkhata Road. They also like buying pool relaxing chairs.” (Participant 6).*

*“Tourists come to buy local products here. The revenue generated is used by families to sustain themselves and even take children to school.” (Participant 7).*

*“I have seen tourists buying local products such as chairs, beds and other artefacts and crafts that area made in the community.” (Participant 8).*

*“Some tourists come and buy items from the community and leave money for the locals’ others invest in the locals through support for social events like soccer.” (Participant 10).*

*“But those who come to buy local products and empower the community. Those who sometimes come for research leave some money for people who help them with research.” (Participant 12).*



*“I believe with the right attitude and investment in the community, tourism can be explored and used to bring about developments. People will earn money and tourists will also bring investments such as shopping malls and other commercial activities.” (Participant 11).*

### **7.3.2 Social Activities**

The social activities observed in Kalingalinga settlement appear to centre around youth engagement and sporting activities at the football field. The sporting activities draw people of all ages living within and outside the settlement to this central location where many commercial activities also concentrate. The space when in use acts as canopy for social and community interaction with people gathering to watch football and have a conversation. The researcher observed a number of children around Kalingalinga football field and within the community and some sitting with grandparents or assisting family in the market area. This concentration of various people is also exploited by local organisations and NGOs to disseminate information about services and programmes.



**Figure 36:**Kalingalinga football ground with young aspiring footballers.

### **Evidence of community identity and interactions.**

The interaction of dwellers with local and international visitors reflects a high level of activity and distinctive community engagement. For example, a local church was seen running a puppet show at the football ground for children living within the slum community. The presenters



sounded foreign, based on the language adopted for the show (English) and the use of a local translator. While the puppet show was ongoing, a football match had just ended organised between Blaze Sporting Academy of Kalingalinga and an away team. The football ground was dusty with goal posts made of bamboo (see figure 36). Football training commences after the match with high a turnup of youths ages between 7 and 11 years living within Kalingalinga. Some of the players did not wear football boots but actively participated and fully engaged in the training session. The researcher learnt that some of the players who featured in the match were shortlisted to play for the Zambia under 17 national team. The activities within the football ground also encouraged interactions among the dwellers and attracted business to the market of second goods such as shoes, football jersey and boots and the sale of water, ice lollies and sweet donut-like buns.

The community has a police post and community centre to maintain law and order and mediate on any local issues respectively. Kalingalinga is a built-up and overcrowded space, with roads and paths within the community mostly unpaved and narrow. Generally, there are very few spaces for children to play in in the settlement and children often sit around and play within the slum corridors. Normally this is a small space between two houses or a path within the community, with some of the children happily playing with no shoes. The transient conditions within the settlement spur the creativity and entrepreneurial activities observed that shape and characterize the community, as suggested by the modernisation theory (Hoselitz, 1961). This is reflected in Phase I of the proposed framework, which suggests improved conditions and tangible benefits as part of the outcomes slum dwellers envision. Identity developed through ownership and staying true to the community's unique skills and talents is essential and may lead to formality or sustainability that could incline stakeholders towards a shift in policy.

The comments below are on some of the activities mentioned by participants occurring in the community:

*“Churches are doing a lot for the community. Most missionaries or tourists come through the Churches. And they promote things like games for children, concerts, films, and many more for the children, crusades which are beneficial.” (Participant 7).*

*“Many come through churches, schools and theatre clubs. We used to have theatre clubs but not anymore because YMCA (Young Men's Christian Association) moved out. They used to do*

*many activities such as drama. Additionally, there are also football clubs in the community and tourists come to identify talent and support local players.” (Participant 11).*

The level of interaction around the field creates a blend of sounds, and dwellers engaging one another in numerous conversations. Youth engagement was noticeable during and after the sporting activities and some of the products on sale reflect these activities, creating a new form of social interaction with retailers. Observed within the settlements were different groups of people sitting on woven grass mats in groups of at least two or three having a conversation in front of their houses. This pattern was common across many of the homes encountered and interaction between residents living across houses was also observed which reveals a sense of reliance on one another and the bonding that exists between households. Cultural activities and practices were identified as possible attractions for tourists.

*“Our culture considers traditional ceremonies as very important. I would say there is need to publicise such activities to attract tourists to our settlement.” (Participant 7)*

### **7.3.3 Infrastructural base for slum tourism in Kalingalinga**

The Kalingalinga slum environment as observed during the tour revealed a densely populated neighbourhood with limited space between houses and reduced space for other social gathering and engagement. The housing structures, when viewed closely, were incomplete and unplastered, particularly the toilet facilities. Some of the toilets in Kalingalinga are external to the slum inhabitant homes and constructed as an open pit latrine. This is also the case with bathroom construction in Kalingalinga with wastewater visibly stagnant within the settlement.

#### **Evidence of poor slum management**

In parts of the settlement water drainage structures are shallow ditches dug by residents that are unconnected to the main drainage grid provided by the government. The drainage system built by the government is mostly located within Kalingalinga boundaries, in some places blocked due to low maintenance, this exposes the inhabitants to flooding.

The lack of a drainage system was observed in most of the areas visited in Kalingalinga, with garbage deposited in different areas of the community. There is a constant movement of people observed within Kalingalinga, the population are disproportionate to the numbers of houses

and a contributor to the poor sanitation. The investment in the conversion of slum structures into student hostels was also evident and adds to the layers of reduced sanitation. According to the tour guide, due to the proximity of Kalingalinga to the University of Zambia, there was a new trend in providing cheap accommodation for students, serving as a revenue stream for some slum homeowners who could invest marginally in their structures.



**Figure 37:** The drainage infrastructure in Kalingalinga, with the two leftmost constructed by government (one cleared of sand and the other blocked). The next two drainages from left are manually constructed and waterlogged.



**Figure 38:** Garbage dumped in and around Kalingalinga settlement.

The photos in figure 37 are the drainage system within Kalingalinga, those running parallel to the roads are constructed by the government to manage flooding within the community. While one would expect the drainage to be clear of debris and covered, many are not properly maintained, and overtime become clogged. The dwellers sometimes take matters into their own hands by construction of drains. These drains are shallow and often become stagnant pools of water attracting mosquitoes and water borne diseases. Figure 38 shows a common sight in Kalingalinga of garbage dumped on the roadside which worsen the already poor sanitation within the community and attracts pests and disease. The situation is compounded by flooding and may reflect lack of care for the community and the hope the dwellers are seeking for a review of their lease of tenure by policy makers for another 30 years (Strobbe, Olivetti and Jacobson, 2013; UN-Habitat, 2003).

### **Evidence of changes in slum dynamic**

Due to various investments, major roads around Kalingalinga are being dualized and private primary schools are opening within the slum. The slum is rapidly changing due to its location and increased interaction and influence from external actors. There has been increased investment within the settlement and need for a rethink of actions to be taken to preserve historical evidence. Many youths and school age children were observed all around Kalingalinga compound during school hours. There is a school system operational in Zambia in which students either attend the morning or afternoon session due to insufficient provision with many missing out due to inability to afford the fees. The current public school provision appears inadequate for the level of urbanisation taking place in the city of Lusaka and places continual pressure on limited infrastructure. Strategy on engaging policy makers in improvements of facilities is needed, realising this may also raise the discussion on the slum's informal status. Keynesian theory exposes the need for infrastructural and human investment for economic growth and poverty alleviation (Jung and Smith, 2007). Evident was the level of gentrification that is consuming roads and pathways, within the settlement leading to the community being denied access to the major roads due to the construction of malls or new buildings, and the demolition of some old structures that tourists may be interested to see, for the construction of commercial stores. While some inhabitants and external actors gain from the gentrification process, other inhabitants are victims who may find themselves displaced and exposed to greater risks associated with poverty.

### More evidence of poor infrastructure

The majority of infrastructural development in Kalingalinga is basic and the settlement is largely inaccessible by cars in many parts, especially where houses are distant from major roads. This situation may prove challenging during the rainy season, due to the poor drainage system and the slum may experience flooding and poor health.



**Figure 39:** The dualization of Alick Nkhata road, due to increase in commercialisation (part 1).

The dualisation of Alick Nkhata road is an example of activity paving the way for the attraction of investors and the gentrification exercise observed in the community as shown in figure 39 and 40. The changing landscape of Kalingalinga is also evidenced by the construction of a mall by Shoprite, one of the biggest supermarket chains in Africa, this was non-existent and would have been unimaginable when the researcher visited in 2015.



**Figure 40:** The dualization of Alick Nkhata road, due to increase in commercialisation (part 2).



The primary priority of government according to the Marxian theory should be the dwellers and their needs, the authority is also responsible for the co-construct and current state of the slum (Davis and Sanchez-Martinez, 2015). Phase II of the conceptual framework therefore reflects the role stakeholders could play in recognising slum as a resource, essential to shaping current and future discussion. The level of commercial activities and new building is also visible in figure 40.



**Figure 41:** Houses common across Kalingalinga settlement (low cost and bungalow). They are often made from bricks and usually look incomplete with toilets and bathroom mostly located outside of the building.



**Figure 42:** Toilet facility external to the main building and a narrow pathway between houses in Kalingalinga settlement.

Figure 41 shows some of the residential structures built with bricks, figure 42 shows a communal pit latrine. The structures appear temporary and undurable also visible are the narrow and unpaved pathways that run through the community. These photos were taken within Kalingalinga and close to Alick Nkhata road.

#### **7.4 Community Capacity**

The community of Kalingalinga as observed was very active and rarely was a negative emotion on display. The capacity of the slum community to collectively survive and act unmoved in the face of adversity was observed among the settlers, which affirms that the slum community is a shared space with inhabitants co-existing and sharing resources within the social construct of the area. This supports the notion of community capacity within the settlement which according to (Chaskin 2001) is the “interaction of human capital, organisational resources, and social capital existing within a given community that can be leveraged to solve collective problems and improve or maintain the well-being of a given community. It may operate through informal social processes and / or organized effort.”.

#### **Evidence of slum resources**

According to Iscoe (1974), “the development of a competent community involves the provision and utilisation of resources in a geographical or psychological community, so that the community members can make reasoned decisions about the issues confronting them.” The willingness of the people to engage bystanders in the locally made crafts or produce on display was observed, this can be considered a form of product marketing and promotion. The capacity to add further layers of skills such as customer service and engagement, tour guiding, product innovation and creativity, to existing skills observed within the community is conceivable and realistic. These skills appear to be essential to the implementation stages and sustainability of slum tourism production.

Slum as a resource is dependent on slum tourist interaction and current branding as a space of poverty. This evidence was considered in Phase II of the proposed framework capturing present engagement and motivation of tourists (see figure 22). The role of tourism as an intervention in slum should be reconsidered to achieve sustainability according to dependency theory, as emerging countries are heavily reliant on countries in the north (Önez Çetin and Özgür, 2012) although it will take a while for sub-Saharan nations to achieve self-reliance (Galtung, 1980).

The two markets located within the neighbourhood were visited, the playground and the various artisan activities observed within the settlement were fully engaging and participatory in the co-construct of the Kalingalinga space with unique resources in use by the community that could also be exploited as a common resource for the greater good of the community. The markets are centrally located within the neighbourhood built for lease or rent to potential businesses. Some shops/kiosks are found located around the settlements built of aluminium materials, as a stand-alone unit or attached to a fence or part of a household. The activities taking place in the community present opportunities for slum tourism attractions.



**Figure 43:** The main market area in Kalingalinga bordering the football pitch and a business owner selling vegetables and locally made ice-lollies. Other products on display include second-hand clothing and shoes.

Figure 43 shows a businesswoman whose shop is behind the main football ground in Kalingalinga next to Kalingalinga Primary School. The main business is the sale of charcoal, eggs and tomatoes, earnings from the informal business are often not sufficient to provide for children and manage outgoings as commented by the businesswoman. The business depends on cutting and burning of wood, which contributes to negative climatic conditions (see section 4.4.5). The other picture in figure 43 shows the reliance of slum dwellers on second-hand goods imported from overseas and sold at relatively affordable prices. Disruption to importation is some of the challenges raised by businesses with heavy reliance of overseas goods.



The examples of opportunities identified can be garnered from the comments of participants below:

*“We do have traditional dances and activities that take place and I see a lot of people coming to watch but our way of living is not attractive to outsiders or tourists. Some of the tourists buy mattresses from shops and chairs, beds, braziers and metal basins among other items from the roadside.” (Participant 1)*

*“I would like tourists to come with knowledge which locals can learn from in terms of developing our community” (Participant 7)*

*“There are a lot of benefits that can come with slum tourism. For instance, tourists come with them ideas, finances and other support which will benefit the local people in terms of building local skills as well as livelihoods” (Participant 11)*

*“We have cooperative societies, they can bring money and advise people to make groups (Cooperatives) and they can bring in Salaula – (second hand clothes) from Europe, Australia and give them to sell or donate to the needy so that we should also look as though we were developed.” (Participant 7)*

## **7.5 Interview with participants**

The study interviewed 13 participants during the fieldwork with 2-4 participant interviews conducted daily. The participants were chosen using selective sampling, primarily based on length of residency in Kalingalinga, local knowledge and any attachment or affiliation linking them to the settlement. The participant information sheet (PIS) as presented below was discussed with participants prior to interviewing participants, with the support of research assistants and consent form were reviewed with each participant to ensure they understood the research study approach and motivations and in case of any questions or reservations they may have had, they could seek clarification before consenting to the study (for consent form see appendix C).

Further explanations were sought, and probing questions were asked to gain understanding of the study concept, which was unfamiliar to many of the participants. The PIS review was necessary as some of the participants were only comfortable speaking in local languages

(Nyanja) and some challenges were experienced in translating English to Nyanja and vice versa. As a result, research assistants who are native speakers were engaged in carrying out the research study (see table 13 summary of field activities). For example, many of the interviewees were unsure of the word slum tourism as there was no direct Nyanja translation. Gender balance among participants was a factor that was considered in the data gathering process and continuously reviewed throughout the data gathering process.

Most participant's personalities were observed to be cautious, apprehensive or fairly quiet with a few being relaxed at the start of the interview. The interviews were conducted at participant's homes. Interviewees were mostly homeowners involved in business activities such as selling of charcoal, sculptures and/or running of a kiosk selling vegetables and fruits. As the interview took place in the participant's home, many preferred to sit on the floor, some on home-made stools and others on chairs.



**Figure 44:** A business owner selling charcoal and owns a small kiosk selling vegetables by the roadside.

Other customary practices observed include meeting an elderly participant's son in the household before the mother, prostration and shaking hands when greeting as a sign of respect. Some interviewees were observed to be excited when the socio-economic potential of slum tourism was raised, although there was uncertainty of the attraction to Kalingalinga, and they were less forthcoming when challenges such as sex and drug tourism were being discussed.

Figure 44 shows a Kalingalinga businesswoman and a homeowner, who mainly sells charcoal. The weather is hot and dry between September and December, so sitting on the ground is

common as observed in the picture. The charcoal is packed into bags in smaller sizes for resale, dividing the charcoal into smaller units makes the product affordable. The woman lives in the gated building in the picture, earns rental income and owns a kiosk opposite home where charcoal and other products such as tomatoes and vegetables are displayed. The woman is not educated, but one of the daughters had recently successfully completed secondary education and was seeking admission to the University of Zambia. This may point to willingness to invest in children and entrepreneurial skills.



**Figure 45:** A conversation with a resident of Kalingalinga

Figure 45 is the living room of a 2-bed property in Kalingalinga. The owner is a retired accountant, educated to a tertiary level, and married with 2 children. The living room is spacious and, in the background, was wife cooking dinner. The family were pleasant and made the researcher feel at home, they offered a drink, which was accepted. The dwellers provided a narrative of challenges within the slum such as youth unemployment, and the gentrification taking place in the settlement with some homeowners selling at a huge price depending on proximity to the major roads. The concept of slum tourism was well received by the host and conversation focused on the opportunities for knowledge and cultural exchange. The drawback of slum tourism was explored but the dweller mentioned that further interaction with visitors would limit exposure to negative opportunities.

### **Evidence of slum tourism exposure**

The limited knowledge of slum tourism and the need for infrastructural development was strongly expressed during discussions with interviewees, especially as regards the state of the main sporting field in the settlement, including the poverty level of individual dwellers. Many of the slum dwellers have never heard of slum tourism but some have seen foreign visitors around the settlement purchasing handmade goods. Slum tourism was expressed by dwellers as a foreign concept with some tangible opportunities for scale such as development of the settlement, financial benefits and business networking. The concept of poverty was raised by settlers in relation to their living standard and what could be offered to visitors. By reflection the space occupied by the dwellers, knowledge, culture and resilience was not considered as a resource in their conversation. The limited infrastructure was also voiced by some dwellers as a possible barrier to slum attraction.

The following statements express challenges of poverty and poor infrastructure:

*“I have never heard of the term slum tourism, but I do see people from outside or tourists who come to this settlement for different reasons.” (Participant 1).*

*“I have heard about those who go to see places of attraction in Zambia such as places where there are animals, not necessarily to come and see slums. In Lusaka the tourist are mainly found at places such as Arcades Shopping Mall. In Kalingalinga they merely pass through.” (Participant 6).*

*“Well it’s the fact that maybe I understand the concept of slums and the fact that maybe I probably know about tourism that maybe I would try to say, “okay what is slum tourism?” but it is not a concept I am fully familiar with. I might not say I have heard of it as being propagated as that concept but I know that the aspects within which you are talking about is what happens and is something that is happening in the various parts of the slums that we have in the city. For instance, we have slums like Kanyama and Chibolya which have some of those aspects of capacity building. We do know that there is a lot of social cohesion of what actually happens in these particular areas that bring in people to come and say okay there is this taking place in terms of maybe the cultural events that are happening which bring in people but to say that I clearly understand the aspect as it is maybe being practiced in other countries, I am not too familiar with that.” (Stakeholder L).*

*“There is no development we are poor in Zambia. With all this suffering, what can attract them? Unless those who come to help such children like this one. We have had challenges for about two years, maybe if they are able, they would help us with ideas concerning what can eliminate these problems such as financial challenges.” (Participant 5).*

*“Poverty is an attraction also? Yes, it is an attraction. Why? Because see in everyday life people survive and if you go to town right now, you discovered that almost over 80% of the businesses along the corridor, along the roads is filled up by people from the slums.” (Stakeholder C).*

*“I think tourism can bring development in many ways. For instance, you asked what race I usually see, some white people were passing through to identify poor children, buying uniforms for them, buying houses for them and helping them in different ways. Once they like the child, they render help. There are those kids who don’t go to school, such are being helped, which brings development. Tourists helped open schools here, they pay school fees, they send money for some kids (fees). A friend’s child’s fees were paid by such people for from grade seven to university.” (Participant 13).*

*“Whites come a lot, mainly for issues concerning soccer. I have a grandson who is one of the children they support where soccer is concerned. They support him through buying things like food, and blankets. They also help through soccer coaching and school sponsorship... they buy mealie meal and leave some money for me as well.” (Participant 12).*

*“For instance, you asked what race I usually see, some white people were passing through to identify poor children, buying uniforms for them, buying houses for them and helping them in different ways. Once they like the child, they render help. There are those kids who don’t go to school, such are being helped, which brings development. Tourists helped open schools here, they pay school fees, they send money for some kids (fees). A friend’s child’s fees were paid by such people for from grade seven to university.” (Participant 5).*

*“We are suffering, and we need help, visitors are needed very much, they can bring finances, for example money earned through the lodges where they would be accommodated, through*

*the merchandise they would buy from the locals and many others. Additionally, maybe it can bring development in many ways. E.g. you asked what race I usually see, some whites were passing through to identify poor children, buying uniforms for them, buying houses for them and helping them in different ways. Once they like the child, they render help. There are those kids who don't go to school with no one to help them, such are being helped, which brings development. Just like this child (her grandchild) wants to go and study medicine, she got admission but could not go due to lack of sponsorship, so she is within the neighbourhood. I told her to wait for next year maybe she can go. So, if such kind people passed through, they can identify and help the child and that would bring joy.” (Participant 5).*

### ***Evidence of slum tourism perception***

The disposition of the participants to slum tourists were mixed, some dwellers welcome visitors and have engaged them in the past, others have not encountered them, and some are weary of their coming. Notes were taken during interviews which were all recorded using a Dictaphone and mobile phone for daily transcribing of research study. Some dwellers are of the opinion that slum tourists have bad intentions with motivation ill conceived. The motivation behind visits to places of poverty was not fully comprehended by inhabitants and rationale was questioned on multiple fronts such the taking pictures, issues of trust and communication barriers. The concept of tourist motivation was raised throughout the discussion. Contrarily, other inhabitants welcome the concept of slum tourism and were receptive to tourists engaging and interacting with dwellers, the concept of tourism motivation negatively passive. The dwellers are interested in economic opportunities that could be derived from such exchanges, open to new business ideas and elevate the concept of home as a space for welcoming visitors both local and international.

Below are comments illustrating the different perceptions on interactions that may result from slum tourism.

*“Some tourists come with bad intentions. They sometimes come to slums with a notion that these are poor people and can be abused. They start selling drugs and encouraging prostitution.” (Participant 12).*

*“We welcome them, we also visit places once in a while. The way we treat people we also want the same treatment when we go there. However, there is always a negative part about*

*everything. For instance, in our business we can entertain them, interact with them and give them our knowledge. They have access to finances and can replicate what we do and outplay us.” (Participant 11).*

*“I think tourism can contribute to improving the community if resources are used prudently. At some point, some tourists gave money to necessitate the construction of two classrooms and toilets, but the money was misused, and those facilities were never built.” (Participant 13).*

*“I think this is an opportunity for me to make money, they’ll start like having affairs like sleeping around to get money, I think Livingston is the best example for sex industry And then drug abuse, like you just have so many drug abuser in the community both the local and the tourists the same tourists that are coming in because you don’t know what their background is where they come from and they are just drug addicts they come they mingle with the local community and is becomes a mess” (Focus Group)*

*“Sometimes we assume they are Satanists or criminals. We wonder why they always want to take pictures of us without letting us know beforehand.” (Participant 13).*

*“Then communication barriers, here comes someone from Europe they only know their language and then there’s this where they reach a household where everyone just speak Nyanja, so there just be that communication barrier, there won’t be that networking, the visitor won’t enjoy their stay because we are not getting along, or accents are so thick, someone is trying to say, water and you can’t understand. So, communication barrier is the biggest challenge.” (Focus group).*

*“I am not sure how I feel about slum tourism because most of them I have heard of take pictures of people in the communities and go and publicize to get funding on the basis that we are very vulnerable, and we need support.” (Participant 2).*

*“You cannot trust someone instantly because we have had incidents where they take pictures of locals and when they go back and portray as though the people in the picture are orphans who they are sponsoring. Others fear human trafficking, so it depends on how a tourist explains and how one understands otherwise taking a picture is not a problem, but people are uncomfortable.” (Participant 11).*

*“I do not see any negative implications of tourists coming to Kalingalinga but positives. Because, if a home does not receive visitors then it is not a home. That is why tourism is an aspect of hospitality and we as a cultured people are hospitable and we have to show our visitors that they are welcome to our community.” (Participant 9).*

*“I would engage if they came to the settlement. I am welcoming, and visitors are always important to us.” (Participant 13).*

## **7.6 Interview with Stakeholders**

The research as part of its exploration of the viability of slum tourism interviewed key stakeholders who are actively engaged in slum administration in Lusaka, including Kalingalinga slum settlement. The interviews were conducted with senior members of CURP, ZHPPF, LCC, MOT, ZTA and PPHPZ. The findings show that slum tourism is a new concept to many of the stakeholders, known to some but unexplored. However, the concept is one that was welcome by stakeholders and was predicted to possibly play a role in Lusaka city branding and support the efforts of the policy makers such as LCC in their campaign on poverty alleviation in slums and MOT in diversifying tourism activities to include urban tourism.

### **Evidence of slum tourism narratives**

The expression of some stakeholders on likely stimulus slum tourism could introduce to the city branding is linked with infrastructure improvement in Kalingalinga to attract prospective tourists. Current attraction to the slum settlement is mainly commercially driven and concerns about whether Kalingalinga had the same potential as popular slum tourist destinations such as India, Brazil, Mexico and South Africa, including the limitation on leadership direction on slum settlement policy, were raised. The gentrification of Kalingalinga was a concern raised among stakeholders, heightened by the issuance of title deeds to slum inhabitants, a solution designed to relieve the economic burden on slum residents, who may feel pressured to market their homes. This topic of conversation was common amongst the participants interviewed who raised concerns on security of tenure of homes and threat of new entrants to the space. There are multiple projects initiated in different parts of the settlement such as the building of a



Shoprite mall and office spaces, these are multimillion Kwacha projects which are significant and reflect power. The concept of power and its links with inequality, marginalisation and exploitation was raised by Galtung (1980). The history of such occupied spaces seems to be ignored and undocumented, for instance there was no information available about the former occupants of the plots where Shoprite mall is being constructed.



**Figure 46:** The early signs of Gentrification in Kalingalinga settlement

Figure 46 captures the proximity of a recently constructed office building on Alick Nkhata road and a Kalingalinga home with a mango tree planted at the front. A remnant of the farm space Kalingalinga once was. There are some children playing in front of the house and clothes are spread on a wire line to dry.



**Figure 47:** The construction of shopping mall in Kalingalinga, cutting off settlement paths and increasing journey times.

Figure 47 shows the construction of a shopping mall in Kalingalinga where a walking path is being erased. Slum dwellers mentioned a lack of consultation and the rate at which construction is happening within the settlement, they are sceptical about whether the developments will benefit the community at large. Some are not hopeful about job creation, other infrastructural investment to the settlement and the attraction that many envisaged. They are of the contrary opinion that more competition will be created, and people displaced.

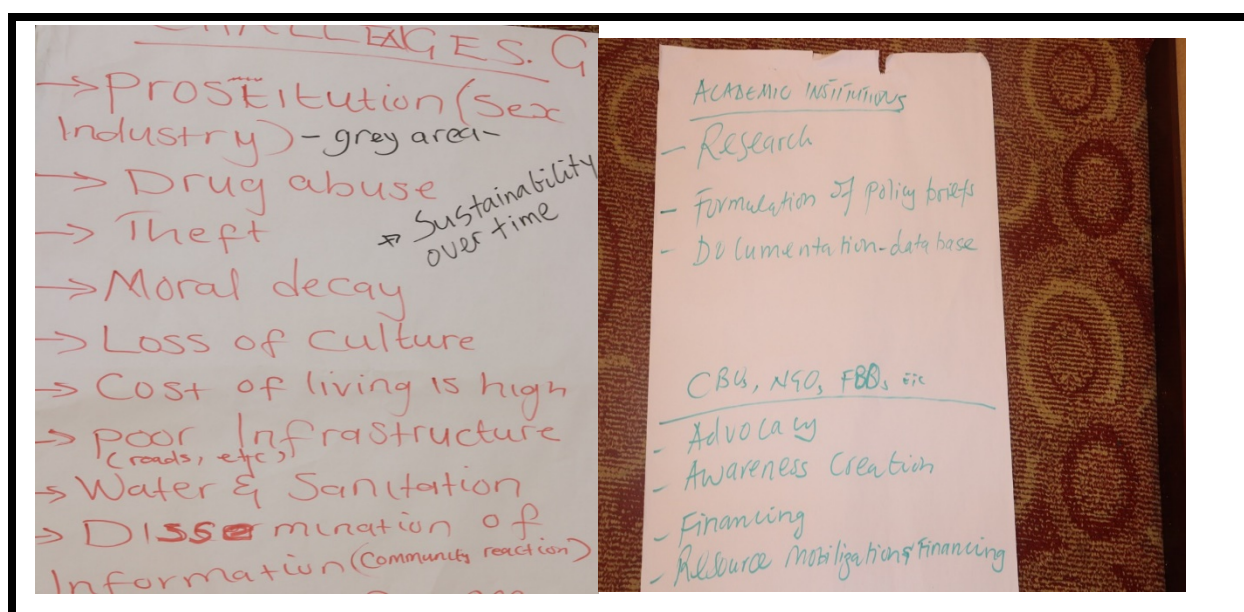
Some of these issues are captured by stakeholders below:

*“I think one of the issues that was brought out was the issue of unemployment in the community. And because of unemployment among the youths, there is quite a lot of crime happening around. So, then the next question was, “what can we do, what do you think? What should we bring to the community?” One of the issues that they raised was that they need a lot of skills training centres. So, with this exercise we are able to document. The whole idea is that we are able to document all this, the whole idea is that we should be able to attract funding somewhere somehow, at least we will be able to solve the problems.” (Stakeholder L).*



*“Yes, it can alleviate. Moreso, if the community is 100% involved. Don’t bring in other things to the community, because the community should own the packages. If they own the package then you are winning the battle, but where you are going to impose it will become a white elephant at the end of the day. But the first thing is to synchronise with what they have, tagged along, bring in these new ideas let them do the buy-in and give the technical part and that should be all.” (Stakeholder M).*

Figure 48 shows a summary of discussions captured in the focus group discussions.



**Figure 48:** List of slum tourism challenges and potential stakeholders identified during the focus group discussion.



**Figure 49:** The introduction of the research project to slum stakeholders by the researcher (unpacking slum as an urban tourism resource).

Figure 49 is the focus group workshop organised by the researcher on day 12, held at the Golden Peacock Hotel in Roma, Lusaka and started at 10:00 am. The invitees were all slum stakeholders representing institutions, policy makers, NGO's, youth groups, CBO's and Kalingalinga slum dwellers. The researcher began the session by welcoming the participants and had an informal conversation with many of them prior. The meeting started by unpacking the global concept of slum tourism with a focus on Kalingalinga, Lusaka. This information was delivered using PowerPoint slides with a brief question and answers section at the end. The stakeholders were then divided into 3 groups (each assigned different questions) by the rapporteur and the researcher move from one group to another listening to the discussion and probing for further details. KYC (Know Your City – slum youth movement) recorded the event and took pictures, the event lasted for approximately four hours and refreshments were provided in the dining area on the ground floor of the hotel. The process of FG meeting reflected the significance of people in any proposed intervention and how Phase III of the framework should envision connections between earlier phases, community and tourism (see figure 64). Some of the outcomes of the FG were presented in figure 48 which shows negative opportunities that may arise from slum tourism such as prostitution and loss of culture. The

role of academic institutions, NGOs and CBOs in policy formulation to further explore the concept of slum tourism in Lusaka for a successful implementation is also captured.

**The table below is a summary of field activities undertaken by the researcher.**

<b>Days</b>	<b>Highlight of Activities</b>
One	Meeting with research assistants to review research questions and timeline
Two	<ol style="list-style-type: none"> <li>1) Tour of Kalingalinga slum and observation of new developments (student hostels; private primary schools; shopping mall), including hostels and church where a funeral possession was taking place.</li> <li>2) The dualization of Alick Nkhata road and construction of Shoprite shopping mall was also observed.</li> <li>3) Interviews four LCC officials to unpack slum settlements, policy and tourism.</li> </ol>
Three	Interviewed three participants who were all women. They were selected with assistance from research and community assistance.
Four	Interviewed two participants, a man and a woman.
Five	Interviewed a woman and a family man, with wife cooking in the living room and children (boy and girl) came in to greet us guests.
Six	Interviewed three businessmen and two businesswomen, most of whom were met at place of business.
Seven	Meeting with research assistant and CURP director to organize focus group discussions,

	and identification of stakeholders for invitation
Eight	Transcribing of data from fieldwork
Nine	Interviewed two slum stakeholders PPHPZ and ZHPPF. This was to gain an insight into the workings of the organisation and the relationships they are building with slum settlers.
Ten	Interviewed stakeholder MOT
Eleven	Interviewed stakeholder CURP
Twelve	Focus group discussion meeting to gain insight into selected groups of stakeholders and triangulation of data (validation and verification)
Thirteen	In-depth interviews of two participants to gain further understanding on issue raised during the focus group discussion

**Table 13:** Summary of field activities.

### 7.7 Personal Reflection and Observation

Slum settlements and slum tourism worldwide are complex and distinctive from country to country, characteristics noticed in informal settlements of Lusaka, Zambia. The concept of slum settlements in different parts of the world appear to be associated with various socio-economic and environmental factors (Rolfes & Burgold, 2013) and slum tourism seems to be partially recognised as one of its ‘by-products’, linked with the attraction of many stakeholders primarily to poverty (Frenzel et al., 2015). How slum tourism practices are conducted in different parts of the globe varies, perhaps due to the process associated with the settlement formation and the identity of the dwellers, which play a key role in the organisation and resilience of the slum community.

The practice of slum tourism in Lusaka seems less well developed and branded than that observed in other slums such as those in Brazil, Kenya, India, Colombia and South Africa, as perceived by the researcher. However, the practice of slum tourism transcends beyond the

ordinary definition ascribed to informal settlements by the United Nations on Human Settlements (UN-Habitat, 2003) and this definition is central to how these settlements and tourism are being perceived worldwide. The multi-faceted challenges of slums include poor sanitation, lack of space, overcrowding, insecurity of tenure and illicit activities such as drug use and gangs, these negativities whilst often overwhelming and difficult to ignore appear to attract most tourists to slums. There may be no way of exploring the slum without an encounter with some of these challenges. In slums the 'despair is more colourful than the hope' and navigating a way around it could seem complicated and unattractive.

The researcher's personal observation of slums in Lusaka exposes the reality on the ground and how the challenges of slums appear difficult to overlook and overcome and often lead to despair. There were pockets of hope witnessed and it was this that captured the researchers interest, as they offered a glimpse into what can be achieved in these areas in terms of growth and positively shifting the socio-economic profile, the pockets of hope were observed as seemingly unexploited in the slums of Lusaka. The approach of slum tourism appears to have been used by many researchers in exploiting the slum and documented in many scholarly literatures, such as (Diekmann & Hannam, 2012; Frenzel et al., 2015; Rolfes, 2010).

Slum tourism in many parts of the world typically involves paying a certain amount to a tour company for exploration of the slum settlement (accompanied by a tour guide); visits or implementation of some projects in the slum, historical sites; sometimes meeting slum residents and the purchase of products and services from slum dwellers. While slum tourism activities majorly occur in the slums, in the slums of Lusaka and perhaps in some parts of the world other slum activities do occur outside of the slum with majority of slum dwellers as the participants. The researcher explored a few slums in Lusaka (Ngombe, Garden, Chipata, Kalingalinga) from April to October 2015 using the *Relative Slum Tourism* (RST) approach. Slum exploration was, in this incidence, coincidental as it was an unexpected activity resulting from seeking and visiting places of interest in Lusaka including sport centres, local NGO's and research centres.

A commonality witnessed was the external interactions with slum settlements and dwellers. This represents a different attraction to slum tourism than the more common *Absolute Slum Tourism* (AST) approach explored by many researchers. As the researcher's initial attraction to the slum was through positive diverse activities some of the slum dwellers were engaged in outside of their settlements, openness to exploring slums was increased and negative bias,



based on popular opinion and reputation, reduced. Organisations with activities in which slums dwellers were engaged include Lusaka Slum Information Centre (LUSIC), the Olympic Youth development Centre (OYDC), Youth for Sport, restoration and Rehabilitation (YOFOSO), Patents and Companies Registration Agency (PACRA) each organisation, as stakeholders in slums, were observed to have the potential to contribute to capacity building in slums. The researcher's initial action was to engage some of these stakeholders where slum dwellers are actively engaged - 'externalities of slum'.

The first action was a visit to LUSIC as shown in figure 50, which was founded a few months before the researcher visited Zambia. The centre was set up to address the dearth of research in urban slum settlements and to engage slum dwellers especially youths in slum research through capacity building exercises including workshops and seminars.



**Figure 50:** Invitation of CII-HUB staff to GIS session organised by CURP (Formerly Lusaka Slum Information Centre - LUSIC)



Further exploration of slum externalities in Lusaka revealed the participation and engagement of slum settlers in sporting activities at the Olympic Youth Development Centre (OYDC) as shown in figure 51. Many slum dwellers within Chipata slums and other neighbouring slums attend free classes in sports such as athletics, football, swimming, basketball, hockey and basic education. The researcher's interaction with some of the key officers at OYDC revealed some of the challenges faced by the slum youths and how some slum dwellers are determined to change their situations through sports. Another key officer suggested that capacity building in slum could be explored as an avenue to address the stereotype associated with slums and a means of confronting the poverty the youth that come to the centre face. Some of the other suggestions raised are linked with the youth refocusing their energy on activities which they perceive could lead them away from negative influence such as crime, common within slum.

The researcher observed a deserted classroom within OYDC and sought an explanation, and it was explained that it is an educational centre usually run by volunteers to deliver basic English and Mathematics for slum dwellers who access the centre. Although, the educational centre was only open a few days a week, it was explained that the volunteers were occasionally not available to deliver the classes, which is one of the challenges they faced in keeping the educational centre running. There were no timetables for the slum dwellers, as the educational centre lacked a dedicated co-ordinator, and the centre appears to be poorly managed. Although educating the slum dwellers seemed not to be one of the primary reasons why OYDC was setup, it had become apparent that this was perhaps one of the most pressing issues for slum inhabitants. The centre seems to be the last hope for children from neighbouring slums unable to attend local primary or secondary schools, perhaps due to lack of funds or other personal reasons.

Noticeable among many of the slum dwellers who visited OYDC was they appeared to be begging from visitors to remedy hunger and poverty. Some of the centre coordinators made an appeal to the researcher to assist in creating an initiative to address the poverty observed among dwellers particularly in capacity building for slum inhabitants who visited the centre.



**Figure 51:** Tour of OYDC and introduction to principal staff and beneficiaries.

One of the other centres visited was The Youth for Sport, Restoration and Rehabilitation (YOFOSSO) centre within Garden slum, which revealed the roles local non-governmental organisations could potentially play in slum tourism development, as shown in figure 52. Looking back at YOFOSSO, many of the people that access the centre are from Garden slum and some are ‘adopted’ by the centre manager as migrants from rural villages, speaking little or no English when they arrived in Lusaka. The centre seems to be one of the places for new arrivals to the slum and where introduction to the urban setting is received. The centre often relied on donations and appeared to lack the facility to generate revenue and function sustainably as a community centre. Later work by the researcher with the centre included working on various projects to raise funds and sourcing for furniture. From visiting these centres before fully exploring the slums, it became apparent that some of the challenges of slums may only be understood by analysing both internal and external factors.



**Figure 52:** Partnership with YOFOSO and raising of funds through organising of Chess tournament to support the activities of the centre and donations of furniture from PACRA.

Generally, to assess the slum, it could be beneficial to review the slum dwellers perspective. The coverage of researchers of some compounds (local name for slum) in Lusaka exposed the slum dwellers need for visibility, opportunities, understanding and exposure to participate in projects geared towards poverty alleviation. This exercise also revealed the necessity for synergy among stakeholders directly or indirectly engaged with slum dwellers and the bigger role they could play in adding value or voice to some of the challenges slum tourism presents.



Inspired by the exploration of slums the researcher founded an organisation, CII-HUB Ltd an incubation centre in Lusaka staffed by volunteers, the remit of which was to kick-start entrepreneurship ideas, especially among slum inhabitants, as shown in figure 53. Amongst other activities, the researcher participated with some of the slum dwellers in visiting the Patents and Companies Registration Agency (PACRA) where registration of new start-ups took place. CII-HUB explored the agency mission on ways of engaging youths particularly with insight on how businesses could be set up and registered. PACRA later became a stakeholder willing to engage with various local organisations in improving their corporate social responsibility within Zambia.



**Figure 53:** CII-HUB staff visit to PACRA and meeting with the Director.

The activities of CII-HUB took the researcher to other venues where engagement with youths, most of whom were living or had lived in slums, occurred such as UKAID, Zambia and The American Embassy, Zambia. The researcher participated in bringing awareness to the case of the slum and the various slum projects the youths at CII-HUB are working on, including participating in talk shows within CII-HUB and facilitating workshops delivered by invited guests for capacity building and awareness on various topics, as shown in figure 54.



**Figure 54:** CII-HUB marketing activities on Prime Television and radio, and Sylva University student engagement.

The approach of exploring the slum through absolute slum tourism (AST), seems to have unearthed a different understanding of the slum. Slum inhabitants were observed as people with potential who are willing to make the necessary changes to survive with limited opportunities. The notion that slums connote poverty and negativity may not be far from the truth, however, to truly understand slum, tourist should endeavour to experience slum from the absolute and relative perspectives of slum tourism.

The findings and data gathered through the literature review led to the development of a conceptual framework for slum tourism in Kalingalinga which is presented in the next section.

## 7.8 Summary

The tour of Kalingalinga showed that there have been changes in the slum, true to the nature of such spaces which can explain why many development initiatives may appear to be ineffective and clash with government and dweller agendas. The rapid rate of change also

highlights the need for initiatives that are adaptable and include the element of skills transfer. The interviews and focus group meeting illustrated stakeholder recognition of the potential for slum tourism to bring about change within the community and if properly planned spur the empowerment of slum dwellers within the settlements. Other identified goals include issues of infrastructural development, which transcends physical infrastructure to include policy formulation by national municipalities, funding, and resources targeted towards slum tourism exploration, research and actualisation. Cultural degradation, language barriers, internal politics and slum tourism exploitation were some of the issues raised by slum stakeholders as a potential challenge in the introduction of slum tourism to Kalingalinga slum community.

The focus group revealed that while there are many stakeholders involved with slums in Lusaka, there is a lack of synergy, coordination and organisation of the stakeholders, which must improve for effective change to take place within the community. It was identified that many urban citizens are unbothered with the status of settlements in Lusaka and seem uninterested in the gentrification occurring or the significance of the cultural loss. While this chapter served as a presentation of the findings of field work, the next analyses them and enters into discussion in attempts to derive meaning for understanding.

## **8 ANALYSIS AND DISCUSSION**

### **8.1 Introduction**

This chapter presents the analysis and discussion of the findings of the research study, gathered through semi-structured interviews of participants and stakeholders, in-depth interviews and focus group discussions. To glean meaning from the data collected, NVivo was used to identify themes of the thesis that are discussed throughout this chapter. The qualitative analysis programme NVivo 11 was used to undertake word frequency analysis and matrix coding. The analysis revealed key words and themes, as well as the relationships between themes as expressed by stakeholders.

Using the proposed conceptual framework of Zambia slum tourism presented in Chapter 7, opportunities were assessed against key elements of marketing, tourism management and global branding (Chege & Waweru, 2014; D. A. Fennell & Eagles, 1990; I. Torres, 2012). Some researchers express the role of the market and products in sustainable slum tourism, especially in the alleviation of poverty (Ashley et al., 2000; Rogerson, 2004). However, there is a need for further investigation on how poverty, place branding and capacity building could contribute to the debate of slum tourism.

The perceived lack of attentiveness by the government to the potential of Kalingalinga could be contributing to the low engagement with the slum settlement, particularly their incapacity to establish a link between various slum elements identified in Phase II and the potential resource it may present. Principally, this is where the research contributes to knowledge, by identifying linkages between poverty, capacity building, stakeholders, place branding and tourism, which are significant in ascertaining the feasibility of slum settlement as a viable urban tourism resource. In achieving sustainable development goals, slum intervention policies have normally focussed on either eradication or upgrading (see section 2.6) and have often neglected the needs and voices of the inhabitants (see section 7.3.3 and 7.6). Investing in people through capacity building and collaboration with stakeholders prepares them for a wider range of outcomes and promotes resilience to change. Capacity building here is not only providing individuals knowledge and skills to increase business and employment success but also empowers them through supportive policies that afford rights and access (see section 7.4 and 4.4.7).

The tourism industry in Zambia is still in its infancy at the developmental stage according to the Butler model, considering over 489,000 jobs created in the tourism sector 2019, down to 340,000 in 2020 due to nationwide pandemic and restriction on travelling (WTTC, 2020) with tourist attracted to nature and game reserves (Liu and Mwanza, 2014). There are also new injection of fund and destination visibility and marketing. In regard to slum tourism, this is at the exploration stage where infrastructure and policy tailored towards slum tourism has been debated and tourist are mainly discovering unique site to visit and interaction with the local or host community still at the minimal stage. As suggested by dwellers in findings, tourism to slum is in small numbers and mainly to purchase produce unique to the settlement. With some providing support with financing of school fees. Tourism to Kalingalinga seems to be on the increase perhaps attributable to the increase in infrastructural development such as the dualisation of Alick Nkhata road (a major connection route, passing through Kalingalinga), which may increase motivation to the settlement and boost commercialisation. The reverse effect of this attraction is the erosion of institutions unique to Kalingalinga, characterised by an increase commercial undertaking and decline of tourism activities which affects the market's ability to generate net benefit for the poor.

## **8.2 Generation and Development of Research Themes**

The four key questions being investigated in this research are analysed and discussed here to provide transparency and clarity to the research findings gathered from participants and stakeholders. The data analysis process was conducted using NVivo, an analytical tool often used in the coding of qualitative research data. The process involved cleansing of transcribed data, which were then uploaded into NVivo and explored using Query commands such as word frequency and matrix coding to visualise the data being presented, which led to the creation of themes.

The themes emanating from the research after carefully reviewing the slum stakeholders' interviews were

- a. Poverty
- b. Place Branding
- c. Economic and Social Development
- d. Capacity Building
- e. Perception
- f. Negative Opportunities.



These themes were selected as they are recurring focuses of discussion within the findings and reviewed literatures.

The identified themes are further classified under the four main research questions:

- i. Slum Tourism Attraction
- ii. Slum Tourism Benefits
- iii. Slum Tourism Challenges and
- iv. Stakeholders Slum Tourism Promotion.

Semi-structured questions were formulated based on feedback from the pilot study (see section 6.12 on pilot study) with analysis of responses indicating frequent use of the words: people, tourists, tourism, community, slum and development. The word frequency generated through Nvivo (see appendix B word frequency) indicates that the people and tourism are essential to the socio-economic development and prosperity of the community such as in the provision of education, financial and professional services. Participants from Kalingalinga and other stakeholders interviewed acknowledged the importance of tourism and actors in stimulating economic activity (see participant comments in Section 7.3.1). This suggests that if the people, community and tourism are efficiently managed, the major challenges of the slum can potentially be addressed (see appendix B for word frequency query result).

The remainder of this chapter addresses the themes identified above, analysing the findings from the participants in the light of the literature review undertaken.

### **8.2.1 Poverty**

As identified in Chapter 2, Poverty remains a condition prominent in slum settlements, that attracts the attention of organizations such as UN-Habitat and has led to calls to action to mitigate against its negative impacts on the welfare and well-being of those affected. The human crisis caused by inadequate slum eradication interventions by many governments has led to the reframing of programs and interventions towards slum upgrading (Abbott, 2002). Although slum upgrading is a positive approach designed to improve living conditions of slum dwellers, this does not meet all the needs of the slum dwellers the majority of whom are trapped in poverty (see section 7.5). This indicates a lack of communication in determining the best

intervention has resulted in the ineffective use of resources made available for slum upgrading, with the intended recipients losing out due to a lack of ownership of the process and imbalances in decision-making authority. Ownership in slum settlements presents a conundrum that deepens the complexity involved in resolving social and economic injustices and inequalities (UN-Habitat, 2012). Slum settlements are considered illegal as the government owns the land on which the settlement has developed; while the residents may own their houses, they have no security of tenure (see section 7.2.5).

Poverty was identified as one of the main slum tourism attractions to Kalingalinga slum settlement in the research study (as described in Section 7.3.1 economic activities). Kalingalinga participants acknowledged this factor as a significant pull for local and international tourists, academic researchers, government and non-governmental organisations visiting Kalingalinga. Faced with poverty and little, to no, access to finances some interviewees expressed the hope that tourist activity could provide leverage over the challenges encountered such as inability to pay school fees for children (see section 7.3.3 and participant comments in 7.5).

While there was recognition of the increased economic activity that tourism could introduce, reference to assistance (as a source of income) received from individuals and organisations was made. The poverty level seems to be fostering a degree of dependency in Kalingalinga; some inhabitants rely on the compassion of non-governmental organisations and institutions such as the Catholic church to provide living assistance (see section 7.5 and 7.3.2). There was a consensus that slum tourism has the potential to aid in poverty alleviation (see section 7.3.1), in agreement with the model proposed by (Ashley et al., 2001) through market mechanisms and philanthropic efforts. It was also identified that slum inhabitants would need to be involved at every stage of the process to ensure the benefits are realised by those for whom it is intended.

The research revealed the strategic importance of the settlement to policy makers in Lusaka but bearing in mind the poverty level expressed by stakeholders and from observations made during a tour of Kalingalinga settlement, questions arise over the consideration of slum dweller welfare.

The settlement, based on the population and volume of informal activities, is regarded as a potential economic hub for future business development in Lusaka, rather than a space of

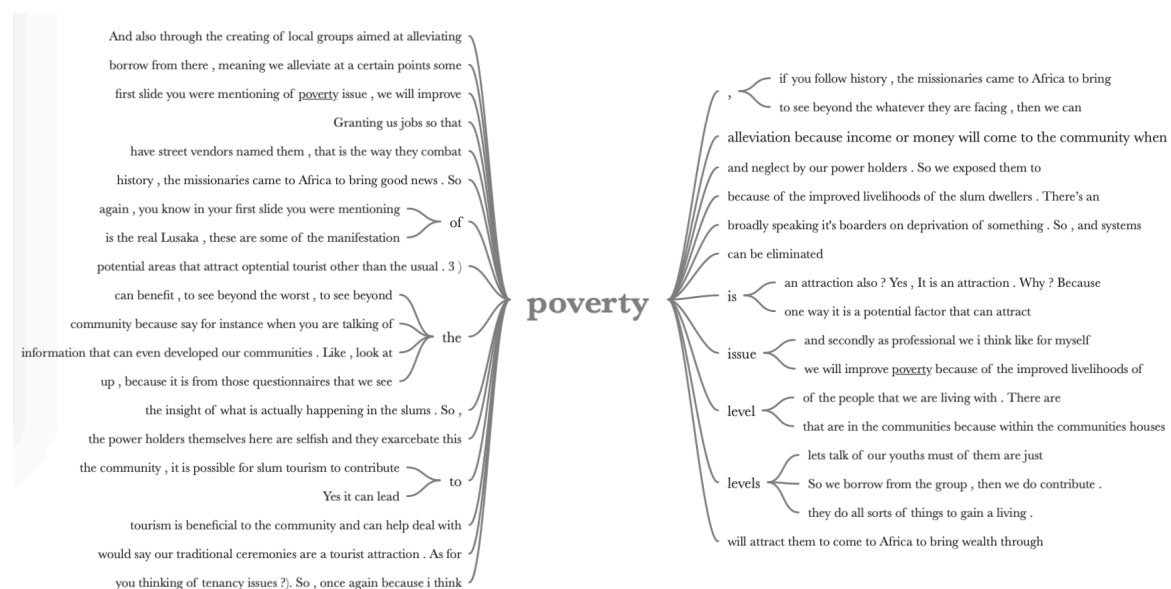
informality occupied by poor urban residents (see section 7.3.1). The geographical positioning of Kalingalinga in Lusaka makes it a desirable location for business, which may in part explain the gentrification (see section 7.3.3) and slum upgrading experienced so far. Comparing the slum now to when the researcher visited in 2015 it is evident the landscape and demography is changing. The commercial importance of Kalingalinga was visible in the construction of new roads by the government and the development of shopping malls financed by new inward investors and tourists attracted to the settlement (see figure 34 and 35 changes in slum dynamic). The attraction of external investors, while bolstering the local economy, leads residents to be attracted to revenues to be raised through rent and sale of property and they are vulnerable to being pressured into vacating their property with no clear alternative to replace it. From this study it is unclear where those moving out are resettling and whether they are better off or not, the proliferation of other slum settlements across Lusaka may be connected to movement from Kalingalinga, further research is required to determine any link.

The relationship between tourism and poverty was pointed out by researchers such as (Frenzel et al., 2015; Mekawy, 2012) who suggested that while economic earnings from tourism are crucial to poverty alleviation in many poor nations, poverty is also an attraction for tourism (see section 7.5 slum tourism exposure). Poverty as an attraction can be controversial, in Kalingalinga it was not expressed by participants as a thing of shame, it was rather simply a fact of their being and issues of overcrowding were not brought up. This is discordant with discussions around slums that raise issues of the challenges of shame and stigmatization (UN-Habitat, 2003) and supports the notion that poverty and the conditions of slums are heterogenous and open to interpretation across cultures (see section 7.5).

The responses from participants portray the sense that inhabitants view Kalingalinga as a vibrant close-knit community that needs infrastructure and assistance for those who have unmet needs (see section 7.2.5). For Lusaka city to realise its economic potential, the proliferation of slum settlements such as Kalingalinga, where most poor people within urban cities are housed, should be properly managed (UN-Habitat, 2012). Considering the multi-dimensional nature of poverty (MoFA, 1997), the impact of pro-poor growth on poverty reduction (UNDP, 2000) and the increase of tourists visiting emerging economies (UNWTO, 2016), calls for the integration of tourism and pro-poor strategies, to derive economic benefits for poor neighbourhoods ought to be revisited (Ashley et al., 2000; Butler et al., 2013). The viability of slum tourism in Kalingalinga rests on more than poverty and what could accrue from slum tourism, it extends

to the way of life of the people and the cultural brand they epitomise through their vibrancy, authentic products and services (see section 7.4 and 7.3.2). Although the impact of poverty on slum settlements and residents is significant, there is still no singular explanation of what causes poverty nor proposition on its panacea. Poverty theory (see Chapter 5) revealed various views of what constitutes poverty and the difficulties associated with the nature of poverty. For slum tourism to be sustainable beyond the current state and eliminate challenges inhabitants face what ought to be considered are the views, skills and needs of the people as captured by the PPT theory (see Chapter 5). Focus should be on their transformation, a key proponent of pro-poor tourism.

The word tree query that follows, produced using NVivo, aids in identifying various contexts in which poverty was discussed. It suggests poverty was presented as an issue that needs to be addressed in the slum which may prevent tourist from visiting but also presents an opportunity as a tourist attraction. The analysis is supported by the Frenzel et al., (2015) notion that poverty is an attraction to slum settlement. Poverty could also exacerbate concerns of stigmatisation and voyeurism raised within slum context (Frenzel, 2016; Lister, 2004; Wacquant, 2008; Walker, 2014).



**Figure 55:** Word Tree Query on Poverty in Kalingalinga

### **8.2.2 Place Branding**

As evidenced in participant comments in Section 7.3.1, while Kalingalinga residents accept that they are living in a state of poverty relative to the rest of the urban population, they feel that they have something unique that they are proud of and believe could attract tourists (Lucarelli & Brorström, 2013). The vibrant atmosphere is relatively peaceful, and the community spirit creates openness and cohesiveness, conditions that will lend well to sustainable slum tourism. The slum dwellers are known for their unique craftsmanship as reflected by participants who mentioned that Kalingalinga is renowned across Lusaka for producing handmade materials such as ceramics, furniture and metal fabrication (see figures 28-30 in Chapter 7). The popularity of the area is a credit to the nature of slum dwellers who settled mainly due to rural-urban migration to Lusaka. The atmosphere of creativity within the settlement, with different skills showcased exemplifies their will and need to innovate for survival. The originality and innovation draw national and international tourists to the area who are keen to explore the locally made produce and take inspiration from them. Interactions on and around the football pitch provide an illustration of relationships built on respect and mentorship that could provide a blueprint for elements of the slum tourism package which should be geared towards upskilling and creating opportunities for residents as identified by respondents and academics.

The resonance of Kalingalinga in the minds of visitors as a go to place for specific products and services including for investment, strengthens the discussion on the power of place branding and its impact on community empowerment and neighbourhood cohesion, as observed in places that have exploited place branding strategy to promote and draw benefits to their community (Hernandez & Lopez, 2011). The effect of place branding and social urbanism on Kalingalinga could also be advantageous in the rebuilding of the community (Kalandides, 2011). The interactions between tourists and residents contribute to the local economy, dampening the suggestion in some quarters that slum dwellers are a nuisance to the urban space and national economy. Comments from Kalingalinga participants attest to tourists visiting the settlements to purchase goods and take inspiration from settlers (see sections 7.3.1 and 7.4).

The injection of new funds into Kalingalinga settlements and the immediate environ from investors, that can be associated with the central location of the settlement and its proximity to many urban amenities in Lusaka, was observed in this study through a social lens in considering its impacts on dweller displacement, overcrowding and value added (see section 7.3.3). One of

the effects of new funds revealed by these findings is that many dwellers, despite being integral to the history of the place, now find themselves being compromised by the potential financial benefits on offer by investors vying to own a share of the space. This view was shared by Lilford et al., (2017), who regarded slum as a space of multiple interactions and partners, with capacity to contribute to city branding and tourism attraction (Hernandez-Garcia, 2013; Menival & Charters, 2014).

Gentrification and development were observed to be changing the landscape and identity of the area as raised by Kennedy and Leonard (2001) in their discussion on development trends. Some dwellers considered the commercialisation taking place in Kalingalinga as a strategy by the government to continue their policy of settlement gentrification. The process of gentrification within the settlement as perceived by the inhabitants raises various concerns (see section 7.3.3). Firstly, around perceptions of slum security, with households increasingly being fenced and gated which speaks to the stigmatization that may still exist towards some slum dwellers, similar safety precautions are being taken with the erection of barriers to protect goods and properties. Negative effects of the changes include the blocking of footpaths to the community resulting in separation that can lead to alienation by creating an us and them. Altering walking routes leads to an extension of journey hours and raises the insecurity level among slum residents particularly women and inhabitants working late for example. Additionally, the attraction of investors (commercialisation or gentrification) to the settlement as revealed by this study is linked to the erosion of culture and traditions inherent to Kalingalinga slum, and the settlement lacks preservation capacity essential for proper archiving of local arts and history (see section 7.5).

Observations show that the local market within the slum settlement is being impacted, as the once bustling market space which enabled slum dwellers to earn a living is being formalised and has now been partly replaced with more formal business outlets (see figures 35 and 39), which are out of dwellers financial reach. These commercial activities are also contributing to the movement of slum inhabitants within Kalingalinga and raises concerns of overcrowding in some parts of the settlement. The findings are echoed by UN-Habitat (2018) who observed, in their thematic guide, a marginal increase in the living standard of most slum inhabitants, with a proportionate increase in the number of people living in slums globally. In addition, slum settlements - to the organization - are still places of immeasurable “inequalities, insecurity, poor living standards, and social exclusion, but also ingenuity, community, homes, and

flourishing businesses.” The increase in attraction through commercialisation in Kalingalinga may generate new income for slum settlers, it also introduces new motion such as increase in rents for many of the dwellers who are not homeowners and places pressure on homeowners to invest in their buildings (see section 7.3.3). The multiple streams of opportunities, which include benefits arising from incomes generated from sale of space and interactions with investors are likely to be short-term as competitors and new products are gradually introduced into the marketing tourism mix. For example, the displacement and changing environment of Kalingalinga has an impact on some of the attractions and activities which slum tourists are seeking and vice versa, reflecting Richards and Wilson’s (2006) assertion that the tourist plays a role in place branding and product design.

For place branding to have the desired effect in slum tourism it must have a transformational agenda targeted towards the poor (see stakeholder comments in section 7.6). Transiting can be in different forms, either taking them out of the system so they live and work in a better place or providing skills that can allow them to improve their circumstances within the area. There is a need to utilise those who have been successful in transitioning to help provide advice and inspire. The only transformational initiative visible in the slum amongst dwellers at present is in youth football with participants vying to make it into the national team and hopefully break into international football (see section 7.3.2). Youth engagement via multiple streams may prove highly effective in a transformational agenda.

In designing its slum tourism initiative Kalingalinga should consider the case of Medellin where change was driven by the government and academics, there needs to be synergy amongst stakeholders with different expertise to ensure sustainability (Hernandez-Garcia, 2013).



**Figure 56:** Word Tree Query on Place in Kalingalinga

The analysis of place branding (see figure 56) revealed that, a place should have distinctive features (products and services) that are uniquely driven by the people, to stimulate tourist activities and development. Dinnie (2004) discusses the need for product or service differentiation, in pursuit of ownership of narratives. This view is also in concordance with the marketing process in tourism that includes identifying the customer needs, developing and promoting the product and services and finally monitoring, review and evaluation to ensure sustainability of the process (Youell, 1998).

### 8.2.3 Development (Economic and Social)

Kalingalinga is a place where people have proven that with hard work the poverty barrier can be broken, and residents actively encourage their children to work towards achieving goals of



advancement, many have been able to move out of the slum to areas with better and more secure housing. However, many residents have lived in Kalingalinga for many years, so we cannot assume that everyone wants to transit out of the slum. The economic activities of slum dwellers are largely informal and involve basic retail, the markets and streets of Kalingalinga are occupied by craftsmen, eateries, mechanics, kiosks and shebeens (see section 7.3.1). The level of trade is often not sufficient to take them out of poverty mainly due to deficient skill sets and limited scalability. The poor financial performance of the small and medium businesses owned by settlers exacerbates the social infrastructure situation, compounding problems and inequities. Small scale businesses create a challenge in investing in children, education, health, basic amenities and heightens food insecurity.

The accumulation of all these challenges leads to social crises, seen for example in the increase in street children, these children may live in the slum but spend their days begging on the city's street to earn an income for basic needs, which leaves them vulnerable to violence, disease and falling further behind their more privileged peers (see section 7.7). Misisi slum, for example, has a high teenage pregnancy rate as reported by focus group participants and while this may not be generalisable it highlights one of the social problems faced as a consequence of low incomes. Paradoxically, while slum businesses tend to have limited access to finance, the slum is a good place for entrepreneurs who want to start small, it accommodates small and medium enterprises due to the informality and culture of the market space that embraces creativity and innovation. It is a place where people can show their talents within a space without having to pay and everyone with talents works together to uplift one another. These interactions are not, however, coordinated, recorded or monitored which can lead to less sustainable development and limitations to profitability exhibiting the need for capacity building interventions.

Slum tourism in Kalingalinga is associated with human development and linked to the improvement of living conditions of inhabitants within the settlement as reflected by some participants. Some interviewees revealed that opportunities are being created through tourist activity and they had personally benefited. The benefits dwellers received were directly linked to opportunities derived from interacting with tourists such as employment and monetary assistance (see sections 7.4 and 7.5). These opportunities reflect what dwellers vocalised when issues of poverty reduction linked with slum tourism were raised. The revelation that major stakeholders tasked with the promotion and development of tourism within Lusaka, are

gradually shifting from a nature to urban tourism model - as a viable poverty reduction and economic engagement mechanism - is in line with developments in urban tourism that is steadily growing across the globe with much socio-economic potential (see section 7.6). Many stakeholders accept that Kalingalinga settlement has potential for slum tourism, based on the historical nature of the settlement development and the dwellers' way of life. The concept of slum tourism in Kalingalinga should be effective if it addresses challenges of how informal settlements can contribute to Zambia's national economy and sustainability is built into its delivery (see section 8.5). Addressing these challenges will require slum tourism construction to be dweller driven and that the role of government in policy implementation and infrastructure is emphasized. Encouragingly, tourism stakeholders engaged in the study welcomed the debate on slum tourism and are open to working with other investors local and international in further promoting community tourism within Lusaka. Many of the stakeholders accept that for slum to be considered as an urban tourism resource infrastructure has to be improved for slum tourism to achieve the goal of poverty alleviation (see section 7.3.3).

The tourism sector, according to Torres and Momsen (2004) is perceived as a source of foreign investment generation for the emerging economy, from which African countries such as Zambia are well placed to realise benefit (AfDB, 2016). This goes against the earlier belief that tourism only benefits the rich as expressed by (Kakwani & Pernia, 2000), which is similar to the misconception in the early 80's disassociating tourism from genuine urban development when discussing PPT approach (Shen et al., 2008). PPT strategy is now a well-researched framework adopted that is based on integrating core concepts of tourism with poverty alleviation (Ashley et al., 2001; Mitchell and Ashley, 2010). The findings reflected the lack of investment by government in tourism research, particularly in slum tourism which raises concerns over the limited professionalism in the slum tourism industry in Zambia (see section 7.6). The outcome of this dearth of research permeates the essential infrastructure considered to be valuable for slum tourism introduction in Kalingalinga settlement and contributes to the perception by participants that development and tourism in Kalingalinga settlements is only associated with current foreign investment of mainly the Chinese and Indian investors in the community. Bridging this gap requires a concerted effort towards the integration of slum tourism into the mainstream tourism industry.



**Figure 57:** Word Tree Query on Development in Kalingalinga

Figure 57 shows that development was widely discussed throughout the research highlighting it as a focal element in slum tourism. As identified from the analysis, development was addressed from a context of tourist intentions and how they affect socio-economic development outcomes within the community. Indicating the need for robust communication and planning of tourist activities that is community driven, for the inhabitants to have control over the tourism package and minimise the potential negative effects of tourism. With support from stakeholders in designing the tourism package, sustainability and development can be ensured by formalising policies, investment and remuneration strategies for example. The World Bank (2002); Majale (2008) reveal that limited urban infrastructural development in slum, could contribute to inequalities and weakens socio-economic interactions, highlighting the requirement for investment to be targeted to ensure growth. These economic developments are often part of the reality's tourists are seeking to explore in slum settlements (Frenzel et al., 2015).

#### **8.2.4 Capacity Building**

Slum tourism in its capacity building potential is an important factor in poverty alleviation, it can provide a platform for the improvement of skills and the sharing of knowledge. While it is important for tourists to know that slum dwellers are open to receiving visitors it needs to be understood that they are also trying to improve their lives through these interactions and through improved provision of services. Capacity building was identified by participants in their discussions of what could be gained from engaging with slum tourists (see section 7.4). Some participants raised the opportunity of knowledge transfer and collaborating with tourists as a key resource towards improving their living standard.

The potential for capacity building was mainly associated with the perception that sharing of ideas could spur entrepreneurship and as a mechanism for up skilling (Gulyani & Talukdar, 2010; Majale, 2008). Capacity building will be dependent on the profile of tourists and their intentions in visiting. The tourism package therefore needs to be specific and attract those who want to improve the area and have the capacity to do so, be it through financial aid, technical assistance or infrastructural development for example. It is accepted that there are limitations in this regard which could prove a challenge in ensuring benefits due to the duality that can exist between the tourists and the host. Capacity building can help people view their skills in a different light and identify hidden potential (Agarwal et al., 2009). There may be a need to perform a skills audit within the settlement as slum dwellers have not extensively identified or explored the skills available amongst themselves. For skills audit stakeholders such as PPHZ or local neighbourhood may play a key role in coordinating efforts to encourage participation.

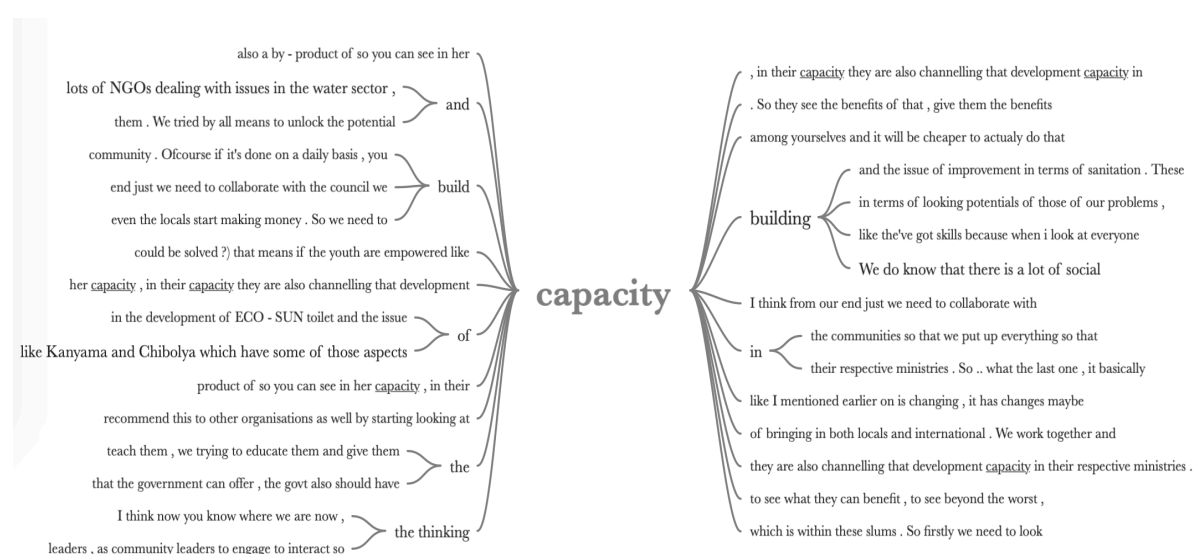
Capacity building should be such that in the event of a lull in the flow of tourists the community remains self-reliant and adaptable to change through the establishment of sustainable businesses and the acquisition of transferable skills. The findings show that there is a lack of capacity in key skills such as business and project management that would assist in attaining developmental goals (see section 7.4). It would seem that for some who are educated, there has been no improvement in skills leaving them unable to compete in the rapidly growing and changing economy and they are vulnerable to becoming trapped within the cycle of poverty (see sections 7.2.2 and 7.2.3). The acquisition of new skills is associated with community empowerment and job creation. Participants identified the lack of employment as an impediment to slum tourism development in Kalingalinga slum settlement and revealed the high rate of unemployment among slum dwellers as a push factor in the focus group meeting,

as it was associated with crime levels in the area (see section 7.6). The phenomenon of slum tourism is passively taking place in Kalingalinga settlement and slum tourists such as international researchers are often actively engaged by stakeholders and knowledge is exchanged through these interactions, based on research findings (see section 7.7). Capitalising on the knowledge gained through translating it into business, innovation and infrastructural development could prove instrumental in accessing net gains for the poor. While the stakeholders' conceptualisation of some of the elements of slum tourism appear insufficient, there is also a substantial gap on how pro-poor slum tourism could be integrated into existing stakeholder's organisational culture in Lusaka. Rather than being a hindrance this can be seen as an opportunity for learning and growth that lends to the economic development of Lusaka.

The willingness to acquire greater understanding of the concept is evident. In search of sustainable capacity building among dwellers within Kalingalinga, the need for infrastructure development (Majale, 2008) within the settlement is often raised which reflects an element of "unconscious shame" about slum dwellers current state of living and residential status. Kalingalinga slum settlement as discovered in this study still struggles with issues of sanitation, stigmatisation, security of tenure, water insecurity, overcrowding, poverty and unsafe housing structure (see section 7.3.3). The questions of shame and stigmatisation of people living in slum settlements was raised by Frenzel (2016), especially when poor state of the slum, dirt and inequalities are mentioned by people as observed by Gubrium, Pellissery and Lødemel (2013) and Walker (2014). Initiatives that may improve perceptions about a place through infrastructural improvements may help reduce stigmatization and increase activity that can improve lives. Capacity building embraces the belief that all physical environments are endowed with human resource and potential. The Kalingalinga slum settlement is regarded in this vein and considered a space of resource and assets with the capacity to solve collective challenges (Chaskin, 2001; Skinner, 1997).

The potential capacity of the slum community to rise above its current challenges can be explored by slum dwellers, and the arrival of tourists could assist in bridging knowledge, infrastructure and economic gaps, including the ability to generate infrastructural investment for capacity building in health and education (Ashley et al., 2000). There were concerns over ethical issues surrounding local knowledge leakages from slum settlements, that can sometimes be disguised as knowledge exchange (see section 7.5). The engagement of PACRA as a stakeholder that deals with patents and provides businesses advice could reduce risk in this

regard. Capacity building in Kalingalinga has to be driven by the youth, who constitute the majority of the country's population and bear the brunt of the challenges faced by the nation (see section 7.7). The youth can be drivers as they have access to tech and new information, their involvement can ensure ownership of the process and thereby sustainability. An empowerment strategy in the case of Kalingalinga could involve engaging youth as tour guides for example, equipping them with the tools they need to share their narrative on the place they have grown up in, what it means to them and how and why it needs to change.



**Figure 58:** Word Tree Query on capacity in Kalingalinga

The above word tree shows the theme of capacity-building is viewed from the context of a participatory and collaborative empowerment process. This ensures that intended beneficiaries receive optimum benefits, by providing them with the skills that will enable them to rebuild and strengthen their community increasing resilience and potentially raise the socio-economic profile of the settlement. This view is supported by Chaskin (2001) who discusses the development of community capacity as a tool for social cohesion and community well-being. Other contributions from researcher such as Skinner (1997) who reveal its potential in community empowerment and development.

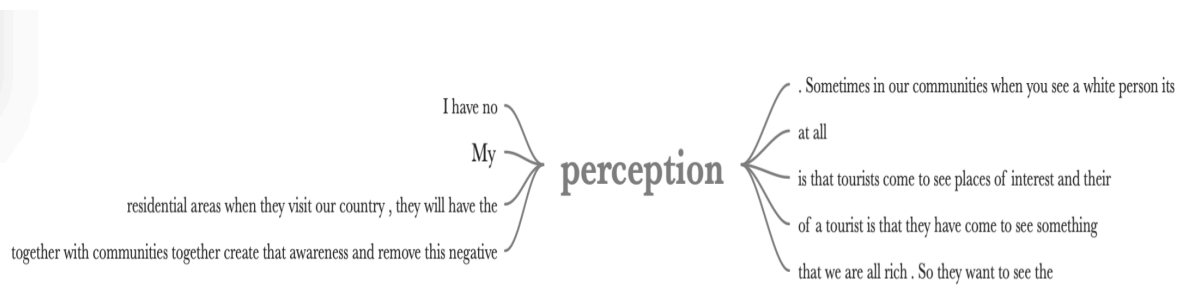
### 8.2.5 Perception

There are mixed perceptions towards tourists visiting slums. The Kalingalinga inhabitants revealed that tourism that does not serve the needs of the dwellers is often not embraced. While some were open to the idea of slum tourism and welcoming of tourists, others expressed a guarded position in respects to the intention of slum tourists (see section 7.5). Amongst those

who believe that tourists can bring about a change as concerns the poverty that exists there are split opinions, mainly between business and financial aid. Opposition to slum tourism centred around beliefs that tourism presents a threat to their culture, way of life and survival. In the production of unique crafts found in Kalingalinga for example, the absence of intellectual property rights and the inability to mass produce there is the perceived danger of losing out to more capable businesses. The issue of communication difficulties between hosts and tourists was raised as a challenge to slum tourism development during discussion. Negative feelings towards tourism could be a result of a lack of exposure and interaction between hosts and tourists and a lack of understanding of who the tourist is (or should be) as it can include institutions, NGOs or investors. There is a need to improve understanding between tourist and residents, to allay the apprehension of dwellers living in Kalingalinga towards tourists and their intentions.

The general perceptions of slum stakeholders to the concept of slum tourism as a pro-poor interventionist approach was initially less than positive as found by Mendes (2010), Steinbrink (2012) and Nisbett (2017) but many participants had no prior knowledge of slum tourism, its challenges and potential benefits. Kieti and Magio (2013) expressed the externalities of tourism investors in slum communities and tourism leakages associated with their actions (Freire-Medeiros, 2009), which are often not pro-poor (Chege & Waweru, 2014; Mowforth & Munt, 2009). In juxtaposition, slum tourism is often associated with potential individual or community benefits, which may explain the increased introduction of slum tourism globally, irrespective of the negative opportunities.

For the community to unearth positive opportunities, the process of identifying a genuine tourist ought to be reviewed. Tourism activities are often associated with foreigners, mostly white investors who visited Kalingalinga to access local produce but tourists who visit or invest in the slums may not entirely be from a white background or foreign countries. This historical perception is changing as tourism to slum settlements is on the increase, partly due to changes in dweller understanding of the tourism market contributing to their welcoming of tourists and diversification of tourism products (Dinnie, 2004). Tourism, according to Ashley, Boyd and Goodwin (2000), flourishes in areas where there are investments in touristic products and local infrastructure, hence the resurgence of tourism to poor settlement has a direct impact on growth of local economy (Richardson, 2010).



**Figure 59:** Word Tree Query on Perception in Kalingalinga

The theme of perception, as above, revealed concerns around what outsiders looking in may think of the settlement and there was a consensus that tourists were drawn to see something that they may not encounter in their everyday lives. There was a notion that there may be the opportunity to change negative perceptions. The power of imagery can transform perceptions, having first-hand experience of slum settlement could prove even more impactful (Diekmann & Hannam, 2012). This perception is also reviewed from a context of interest, a tourist is only likely to be drawn to an attraction out of their personal preference.

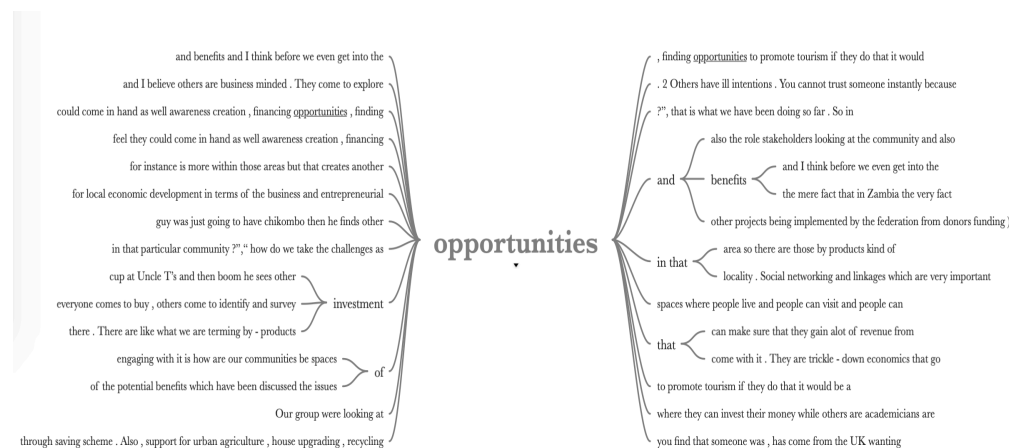
### 8.2.6 Opportunities

The development of slum tourism in the community raised scepticism among residents of Kalingalinga who voiced concern about non-positive opportunities that are likely to arise from engagement in tourism such as the misappropriation of developmental funds meant for community projects (see section 7.5). The issues surrounding the nexus between slum tourism and negative opportunities raised during the focus group discussion gave rise to debate on whether slum tourism in poor communities reaps positive benefits for slum dwellers and how to measure these gains against the challenges often linked with tourism, such as prostitution or sex tourism (Msindo et al., 2013). The number of women who reported being unsure of tourist intentions exceeded the number of men, and men were more willing to promote the concept of slum tourism in Kalingalinga, based on interviews with participants (see section 7.5 for a sample of responses). The uncertainties expressed by women maybe as a result of the fact that women and girls are the most vulnerable in slum settlements due to inherent gender inequalities and they are disproportionately exposed to the negative effect of climate change (Boyd & Ghosh, 2013; Kher et al., 2015; Nhamo, 2014).

These negative opportunities may not directly be linked to slum tourism, as concerns of mass tourism and factors such as globalisation, also impact the local economy and limit expression



of creativity especially among youths and women (Mule, 2001). Slum settlements are recognised for entrepreneurial prowess (Agarwal et al., 2009; Gulyani & Talukdar, 2010; Majale, 2008; Nisbett, 2017), necessary to provide opportunities for economic growth and change, which could dissuade slum settlers from illicit actions. The unlocked opportunities are often not considered during urban planning and evolution. Hence, the proposal of approaches such as CBT and PPT suggested by Marx (2011) as a possible panacea. One of the reasons mentioned by researchers for the negative opinions on slum tourism was due to the inadequate infrastructure common in slum settlements as acknowledged by (UN-Habitat, 2003; Nisbett, 2017) and its exploitative nature of the poor (Kieti & Magio, 2013), which are prevalent in Kalingalinga slum.



**Figure 60:** Word Tree Query on Opportunities in Kalingalinga

The theme of opportunities (Fig. 60) is viewed from the context of financial gain from tourism activities, which could support entrepreneurial initiatives within the community. This proffers visibility to slum settlements and their inhabitants by increasing their stake in the local economy and providing a platform through which interactions are formalised. Slum dwellers are usually excluded from formal economic participation (Stokes, 1962), this lack of involvement often leads them to illicit activities (Sherman et al., 1998) or leaves them impoverished and in despair. According to the liberal theorist on poverty, the support for capacity development is regarded as a major factor in poverty alleviation and economic expansion (Jung & Smith, 2007).

### **8.3 Further Analytical Results using NVivo**

NVivo analysis software was used to compare views on slum tourism viability among slum settlement stakeholders based on data gathered. The results were analysed using Matrix Coding queries to uncover intersection between items and discover patterns in a data. The statements below are a summary of some of the conclusions drawn from the analysis.

- Tourism attraction and infrastructural development were referenced more among Kalingalinga participants compared to other slum stakeholders and in the focus group discussions. This suggests that the residents consider these two key factors as essential in the construct of slum tourism.
- The number of participants who are unsure of tourist intentions is double that of those who are open to tourists. This indicates that there is a need to address issues of trust which may begin with dwellers controlling slum narratives.

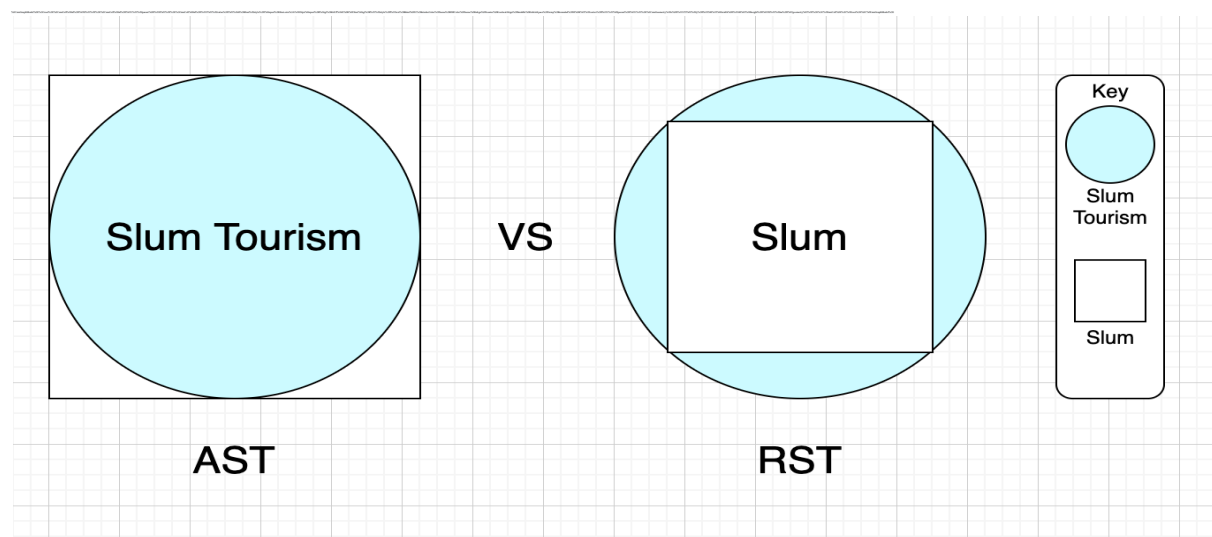
Review of the information gathered through fieldwork and tours of slums in Lusaka brought to the fore two distinct approaches through which the slum can be explored, the particulars of which were touched upon in section 7.7. As the interests of the slum dweller are central to the slum tourism framework (see section 8.5) being proposed in this thesis it is important to select the most appropriate package to secure net benefit for the community. The section that follows is the researcher's analysis of the slum tourism approaches that can exist based on analysis of results and observations.

### **8.4 Slum Tourism Approaches**

This thesis adds to knowledge by suggesting that there are two approaches through which the slum can be explored, Absolute Slum Tourism and Relative Slum Tourism. The existing slum tourism approaches reviewed (see section 3.5) predominantly explore slum settlements through what has been named the Absolute Slum Tourism (AST) approach by the researcher. In these tours the slum is explored from within which often excludes the external activities slum dwellers are engaged with which can lead to a limited narrative and experience that can be damaging. In AST while tourism may foster awareness and understanding of the conditions in which the people are living it does not necessarily lead to transformation, the capabilities of the people and activities they are involved are overlooked. The Relative Slum Tourism (RST) approach introduces a dynamic element by encouraging the tourist to explore the external activities slum

dwellers are involved in that lend to the co-construct of urban areas. In framing slum dwellers as not only residents of the settlement but as active members of a wider society the RST approach may reap greater benefits for the local economy. Focusing on people their talents and needs, rather than the place, reveals tailored pathways to development that may include knowledge sharing and capacity building for example.

Figure 59 below is an illustration of the two approaches to slum tourism (AST and RST) encountered by the researcher while touring the slums of Lusaka. This however may not be a general occurrence in slums across the globe. The types of tourist behaviour could be further investigated in future research on the growing trend of slum tourism activities worldwide.



**Figure 61:** Absolute versus Relative Slum Tourism.

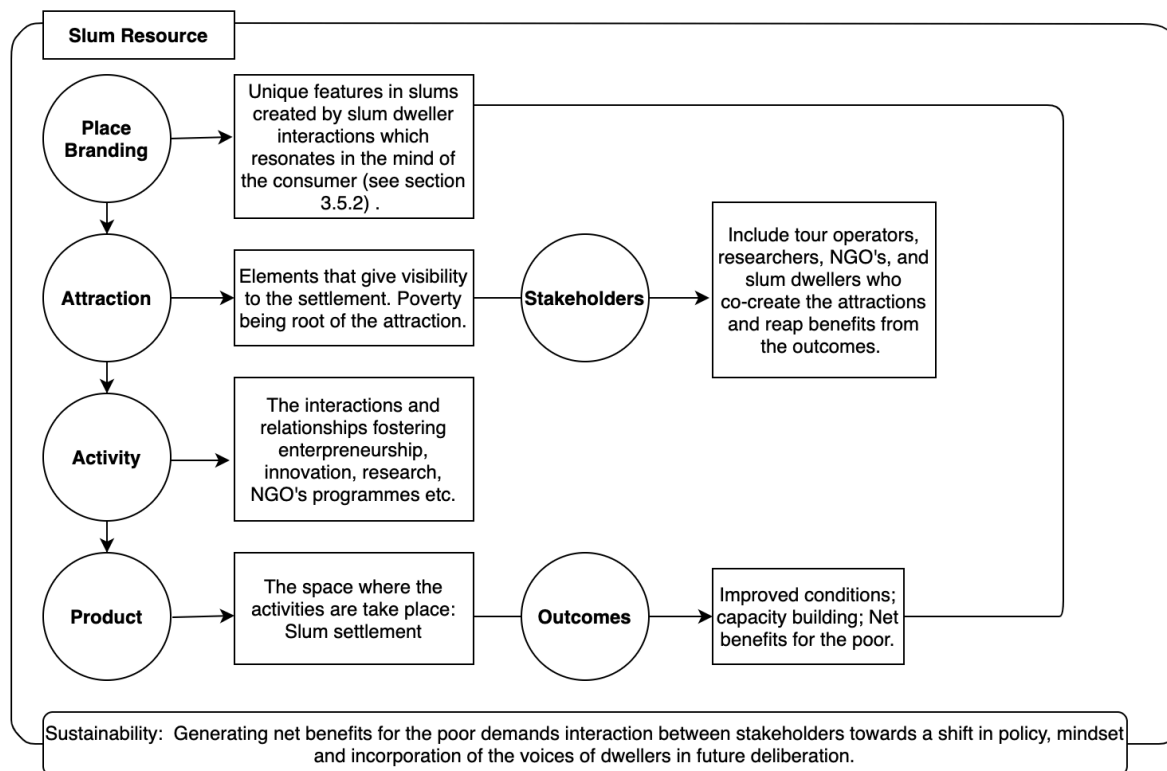
## 8.5 Proposed Conceptual Framework for Kalingalinga

Interviews and discussions with stakeholders reveal that slum tourism has not fully been considered as a resource in urban tourism planning and poverty alleviation (see section 7.4). This research proposes a conceptual framework for slum tourism in Kalingalinga, based on frameworks and theories mentioned in Chapter 5, with the use of pro-poor strategy and considerations for sustainability, a notion often considered to be controversial in slum settlement discussion (see Chapter 4). Phase I and II constitute the initial framework (see section 5.8), exploring the aspects of slum resources and sustainability that determine the viability of slum tourism a brief discussion of which follows.

Phase I explores slum as a resource by looking at slum as a space of interaction of multiple stakeholders, adding a sustainability element to assist in creating an enabling environment for continuous economic development and growth. The slum resources are the components that contribute to the development of the marketable touristic product (slum settlement). The mechanism of sustainability should generate net benefit for the poor and is reliant on the actions and commitment of the stakeholders. Slum dwellers, tour operators, researchers, NGOs and governmental bodies are stakeholders involved in the initial stages of the framework and throughout the slum tourism process. It is crucial that they be active participants from inception to delivery and remain in consultation, sharing information and expertise to secure maximum benefit. The introduction of sustainability supports the PPT concept discussed in Section 3.3.1, which champions the inclusion of poor people's voices in achieving meaningful results for progress.

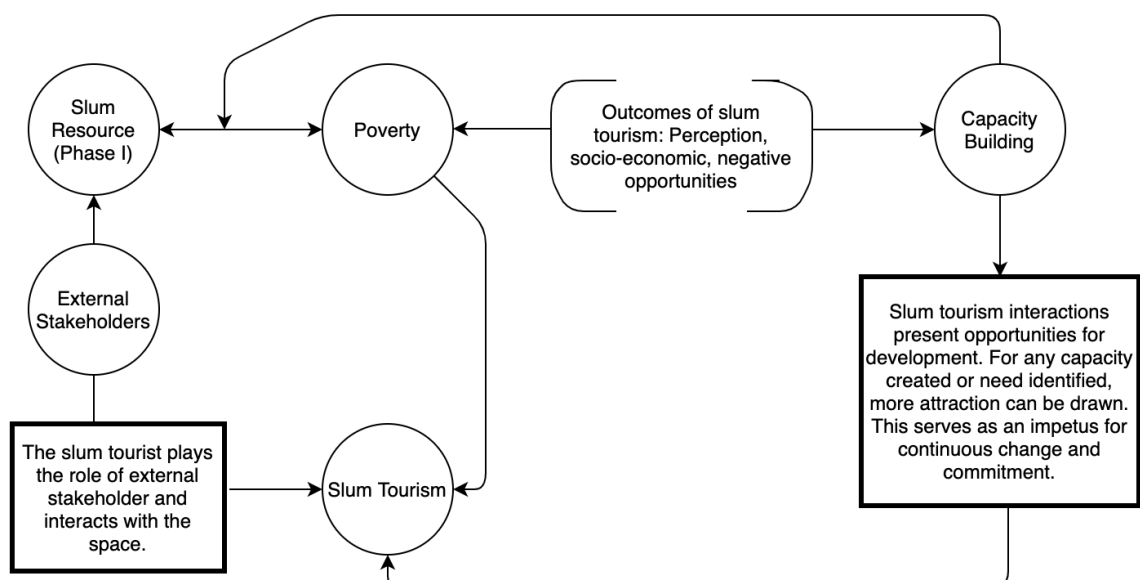
Phase II introduces the factors that influence sustainability, slum sustainability enablers. It sets out the elements that have the potential to affect the resources discussed in Phase I and their connection to poverty as an attraction. Exposure of slum dwellers to slum tourism results in outcomes that present opportunities for learning, investment and development. Taking advantage of opportunities will only be possible where capacity to do so exists. Capacity building is therefore regarded here as a panacea or an instrument in the discussion of poverty alleviation.

## Phase I



**Figure 62:** Phase I of Kalingalinga slum tourism framework.

## Phase II

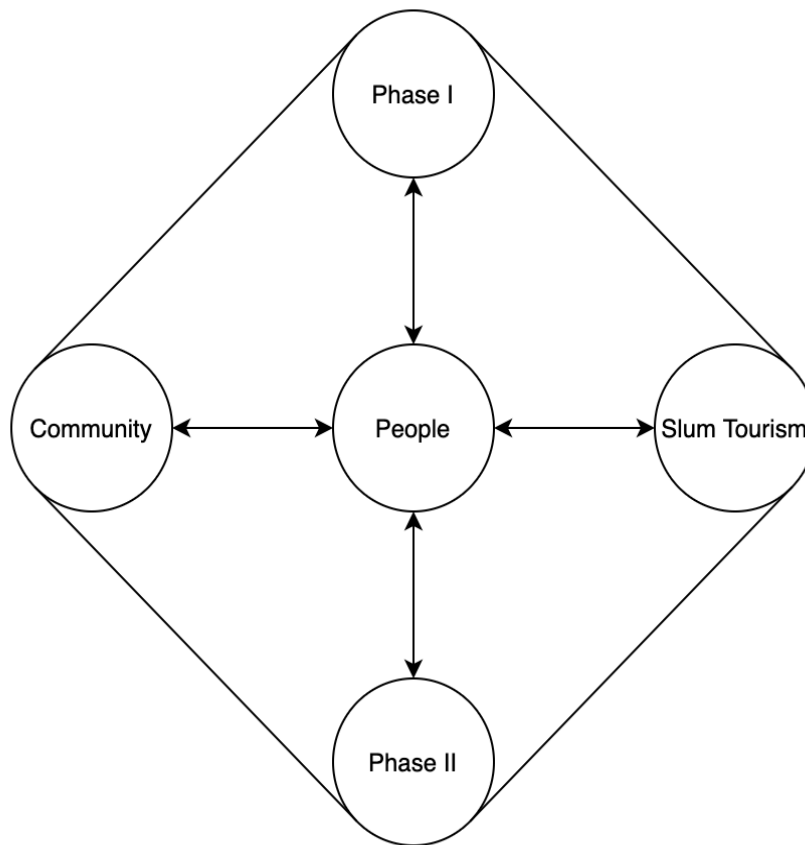


**Figure 63:** Phase II of Kalingalinga slum tourism framework

### Phase III

Phase III of the proposed Kalingalinga slum tourism framework draws attention to the people of Kalingalinga as the conduit between Phase I and II and acts as the main mediator for risk management among stakeholders within the slum settlement. The people of Kalingalinga are the active participants whose resources are being exploited and whom the visitors travel to see. The people of Kalingalinga play host to the visitors and initiate business exchanges, their voices are paramount in the outcomes experienced both negatively and positively. Linking Phase I and II through the voices of the people is critical in how the local residents perceive slum as a space of opportunities. The people in Kalingalinga are a force for change in the co-construct of the community they seek and the nature of slum tourism they attract. Sustainability and slum settlements are an anathema, the people of Kalingalinga are, however, resilient and integral to the kind of adaptation mechanism put in place. They are essential as a tool for economic attraction in Phase I and slum sustainability enabler in Phase II, both of which could be linked to the modernisation theory which indicates that Kalingalinga is at present transient and the community will transit to conditions similar to northern countries (Hoselitz, 1961). These phases, although observably independent, are prerequisites to one another and may not be applied in isolation, considering their iterative and socio-cultural nature.

Phase III presents the next step in the development of a conceptual framework for slum tourism in Kalingalinga. The findings and analysis suggest that people are the nucleus of the development of tourism development, due to the defining role they play in community, tourism and the first two conceptual framework phases. Although the Frenzel et al., (2015) assertion on poverty as an attraction for slum tourism is factual and relevant, this research suggests that people are a more attractive proposition to slums and are the main resource for slum tourism viability to thrive. There is a need for more research on attractions to slum settlements and the role people play in slum tourism pull. The findings presented in this chapter do not negate the role factors identified in Phase I and II plays in the co-construct of a sustainable slum settlement.



**Figure 64:** The Conceptual Framework - Phase III

## 8.6 Summary

In the existing framework on slum tourism (see section 5.7), the poverty of informal settlements is principally verbalised when discussing the challenges and prosperity of slum settlements. This factor is also dominant in Kalingalinga urban settlement, where the slum dwellers regularly encounter the challenges of inadequate provision of basic services, such as housing, water, the security of tenure and sanitation. The lack of an in-built poverty alleviation mechanism in slum settlements such as Kalingalinga, to address and monitor these challenges including existing and new residents is contributing to the cycle of poverty, which tourists often find attractive. Development by nature removes this attraction and can lead to additional attractions to the slum which can benefit some inhabitants and leave others worse off by displacing them or widening the income gap (see section 7.3.3). The boundary of this narrative is continuously being pushed, as slum settlements are sourcing new attractions and modes of engagement with visitors. The increased visibility of poverty is also partly enhanced due to the limited engagement of policymakers in slum settlements. Poverty was seen to be *spilling out* of the slums with individuals turning to coping mechanisms such as begging (see section 4.4.4)

and linked to the rise in the number of street children in Lusaka (see sections 4.4.2 and 5.10.1). This is gradually changing in Kalingalinga settlement, as slum interaction between dwellers and government continues to evolve. The policymakers in light of this research are now reconsidering the urban settlement as a resource and forging new engagement with slum inhabitants. This process is in its infancy, but it is essential in turning the tide on relations between these two key stakeholders.

The Kalingalinga case study highlights that to maximise socio-economic development, other stakeholders have to be incorporated into PPT (see sections 8.2.5-6). It also revealed high expectations of the settlement from potential proceeds associated with the implementation of slum tourism participation through PPT, including the role of policy makers in the provision of infrastructure required for the generation of tourism attractions. Slum dwellers limited understanding of tourism potential and the sub-optimal participation of stakeholders in building capacity to attain competitive advantage in unique tourism products was revealed. Poverty is only one aspect of the slum and certainly does not define it. The community are innovative and creative which places them in a good position for place branding, although the gentrification process may present a threat. The opportunity should be taken to build capacity to enable the slum dwellers gain control and build resilience to change. This can be achieved through the adoption of a pro-poor slum tourism approach that places the people of Kalingalinga at the centre of decision-making as prescribed by the conceptual framework (see section 8.5). While some slum inhabitants reported that poverty was not something that they felt ashamed of, their focus on the state of infrastructure and the need for improvement to attract tourists may imply otherwise (see section 7.5). A factor in determining outcomes of initiatives may be perceptions particularly addressing negative perceptions through drawing appropriate visibility to the slum. The introduction of tourism raised concerns over cultural and moral erosion which may be unavoidable but through collaboration amongst stakeholders with legislative support from government it was agreed that slum tourism may reap net benefits for the poor and wider society as it has in other countries. The final chapter forms the conclusion of this thesis and makes recommendations for policy change and future research that may add to the efficacy of slum tourism interventions aimed at poverty alleviation.



## **9 REFLECTION AND CONCLUSION**

### **9.1 Introduction**

This chapter presents a series of arguments that form the conclusion of the exploration of slum as a resource and tool in capacity building and poverty alleviation, providing the answers to the research questions in Section 1.8. This research seeks to provide insight into whether slum tourism is a viable option for improving the lives of residents or reducing poverty in Kalingalinga slum. Although, many slum inhabitants are still discouraged by stigmatisation and voyeurism associated with slum tourism, they are willing to participate in slum tourism due to its uniqueness and potential to unlock socio-economic opportunities. This view is consistent with multiple stakeholders linked with slum settlements including policy makers who are open to the formalisation of the informal settlements. The study further seeks to determine if the findings and analysis are generalisable in considering slum as an urban tourism resource.

This chapter is divided into eight sections, section 9.2 provides a summary of the contextual relevance and application of slum tourism in the context of a global south city like Lusaka and specifically Kalingalinga slum settlement. In section 9.3 critical analysis of the viability of slum tourism is presented through discussion of the evidence gathered in response to each of the research questions. Section 9.4 and 9.5 reveal the contributions to theory, practice and policy made by this research. Based on the findings of fieldwork in Kalingalinga and discussions with key participants, the study proposes some recommendations on how slum tourism can be strategically enhanced in section 9.6. This is followed by the limitations of the research and implications for future research in sections 9.7 and 9.8 respectively and finally the summary of this thesis.

### **9.2 Contextual Relevance and Application**

The multi-faceted challenges of slums, highlighted in the UN-Habitat (2003) definition include poor sanitation, lack of space, overcrowding, insecurity of tenure and illicit activities such as drugs and gang culture. These negativities, whilst often overwhelming and difficult to ignore, appear to attract most slum tourists to slums as described in Section 4.4. This can raise concerns of voyeurism and reinforce stereotypes but there may be no way of exploring the slum without an encounter with some of these challenges. In slums the despair is more colourful than the hope and navigating a way around it would seem complicated and unattractive. Rethinking and

repurposing despair by giving slum tourism a restorative remit can perhaps reduce these negative associations. Slums in Brazil, Kenya, India, Colombia and South Africa have tourism practices that transcend beyond the ordinary definition ascribed to informal settlements by UN-Habitat (2003), as they honour the unique multi-dimensional characteristics of individual slums. The attraction to slum tourism in countries where it is more established is varied and includes crime, poverty, historical events, sites of significance and cultural heritage. The UN-Habitat definition however remains central to how settlements and tourism are being perceived and received worldwide (see section 3.5). In Lusaka, where slum tourism is yet to be adopted as a tool in poverty alleviation by policymakers, tourist activities were observed to be less organised, developed or branded. In Zambia, tourism is conventionally reserved to showcase natural resources, an endeavour which contributes to national GDP (Tabetando, 2020). Recently poverty is also becoming an attraction for tourists who are mainly interested in visiting informal spaces. Evidence gathered (as shown in Section 3.3.1, 3.6, 7.3.2 and 7.6) suggests that the implementation of a slum tourism package with inhabitant participation, place branding, coordination of activities, relationship building and collaboration amongst stakeholders could increase the net benefits that may potentially be derived (see section 8.5). Branding in particular plays a vital role in inculcating a restorative remit to change the narrative and encourage favourable outcomes for slum inhabitants and the wider society in which they exist (see sections 3.6 and 5.10).

This study has revealed the reality of what slum dwellers in Lusaka are exposed to in terms of the challenges they face, which are neither easy to overlook nor overcome, often leading to despair. There were pockets of hope witnessed and it is this that offers a glimpse at what can be achieved in these areas in terms of growth and positively shifting the socio-economic profile (see section 7.7). The pockets of hope were observed as seemingly unexploited in the slums of Lusaka and present an opportunity for contextualizing and adopting slum tourism as a tool to leverage resources and upgrade the settlement as advocated for by scholarly literature, such as (Diekmann & Hannam, 2012; Frenzel et al., 2015; Rolfes, 2010). From the study, there was consensus amongst the residents, stakeholders and actors such as ZTA that slum tourism has the potential to improve conditions in Kalingalinga (see section 7.6), but it requires institutional buy in from local authorities to position it in wider slum upgrading initiatives for there to be traction.

The implication of data gathered is generalisable across slum settlements worldwide, as common factors of slum formation such as poverty, affordable housing, rural-urban migration and changing climatic conditions continue to affect communities across the world regardless of national borders.

Addressing the need for the implementation of Sustainable Development Goals 11 (UNESCO, 2019) and Agenda 21 in slum settlements is vital to combat poverty and promote sustainable human settlement development for the future (UN, 2019). Multiple sources of revenue are required for sustainability, the need to adapt and build resilience is fundamental to survival and coping with the impact of globalisation, urbanisation and changing climatic conditions was evident in the data gathered. Given the common factors that cause slums to form, as well as the common challenges that face those living in these informal settlements, slum tourism as a tool for empowerment in slums is gaining traction worldwide (Frenzel et al., 2015; Hernandez and Lopez, 2011; Hernandez-Garcia, 2013). Therefore, it is clear that the findings of this research can be generalised, allowing for local distinctiveness, across the world but most significantly in sub-Saharan Africa.

### **9.3 Slum Tourism Potential in Kalingalinga**

This section presents details of evidence gathered in response to the sub-questions that together examine the viability of slum tourism as a poverty alleviation tool in Kalingalinga.

#### **Research Question 1: What are the main tourist attractions in Kalingalinga?**

Slums like Kalingalinga have been characterized and associated with squalor and are often considered the dark side of the city. From the bourgeois perspective, the poor urban areas have mostly been constructed as areas containing ‘the other’, visiting a slum from this perspective is done with the wish to experience the other (see section 1.4). However, the narrative on slum tourism is changing to also focus on the potential progressive impacts that slum tourism can have on slum communities or how slum tourism can be incorporated/exploited as a slum revitalization strategy (see section 3.3). Slum tourism attraction in Kalingalinga is different from the attraction in South America, where the nexus of crime, poverty and the vibrant culture are the draw. In Kalingalinga the poverty and the resulting inventiveness and optimism of the slum dwellers is the draw. The despair may be more colourful but there is a line past which voyeurism of despair is not productive. The change can lead to improvements in the living conditions of people and promote local economic development, which is the focus of this study,

but this is not to underscore the disadvantages that can come with slum tourism. Poverty remains characteristic in Kalingalinga and continues to draw attention spurring innovation and entrepreneurship that creates a diverse market that sustains the inhabitants of Kalingalinga, despite the changing narrative.

Tourist visits to Kalingalinga have been largely informal and undocumented with no tangible benefits to local residents except for the few engaged in trade such as the selling of local crafts. Slum tourism discourse and debates recognize the value that slum tourism can have on local economies (see section 3.5). Tourists have mainly visited Kalingalinga either for research purposes or purely to experience what has been perceived either through photography, word-of-mouth or videos. Investing in the development of slum tourism in slums like Kalingalinga requires institutional and political will to provide the platform for it to develop and thrive into a viable engine for revitalizing slums and improving lives of slum dwellers (see section 8.2). The attraction to Kalingalinga is its people and their talents, investing in their potential with sound policy and support, delivered in collaboration with a wide range of stakeholders would secure futures.

### **Research Question 2: What are the potential benefits of slum tourism in Kalingalinga?**

Akin to slum tourism discourse in India and South Africa, slum tours have the potential to demystify some of the negative perceptions of deprived neighbourhoods like Kalingalinga, frequently portrayed as places of squalor, violence and other social vices. Locally led tours will offer tourists an opportunity to learn from residents of Kalingalinga, allowing residents to control the narrative and begin to create better futures. Promoting slum tourism in Lusaka will provide a platform from which slums like Kalingalinga can create direct and indirect employment. Tourists can contribute to the local economy beyond paying the fee for tours, they may also purchase local commodities and souvenirs and contribute to development through knowledge transfer. Kalingalinga is known for its handicraft, including artistic woodwork and concrete sculptures, which are bought by both locals and tourists who visit the settlement, providing a firm foundation for tourism by contributing to place branding (see section 7.3.1). Slum tourism in Kalingalinga, if well managed utilising the conceptual framework proposed in section 7.8, could reap net benefits for the poor and move towards sustainable poverty alleviation.

### **Research Question 3: What are the challenges of slum tourism in Kalingalinga?**

It is evident from literature and growing conceptual debates that slum tourism has grown into a legitimate industry (see section 3.5). Over the past two decades there has been an expansion and geographical spread with its establishment and growth in several destinations of the global South including India, Philippines, Jamaica, Mexico, Egypt, Ghana, Namibia, Zimbabwe and South Africa (Rogerson and Mthombeni, 2015) bringing in millions of people every year. Frenzel et al., (2015) view slum tourism as a tourism phenomenon of niche form occurring in a growing number of other destinations. Much controversy shrouds the economic and social impacts of slum tourism, with morally charged debates between observers viewing it as philanthropic travel or the organized exploitation of poverty (see section 3.5). Critics assert slum poverty tours are voyeuristic and in turning people's lives and miseries into a spectacle are inherently exploitative, while proponents argue that such tours can reap benefits for the poor that have the potential to improve the conditions they face.

Kalingalinga is one of Lusaka's slums that seems to be on the gentrification trajectory (see section 7.3.3), it continues to receive infrastructural development of commercial properties, that seemingly take precedence over housing and community projects, which is slowly changing the character of the settlement. Its location and positionality make it a suitable destination for tourists and business, located on Alick Nkhata road - a fast growing mixed-use precinct that is bordered by the University of Zambia to its North and affluent neighbourhoods such as Kabulonga and Mass Media to its south.

As Lusaka continues to grow and develop, competition for space has become more fierce and slum dwellers unfortunately appear to be losing out not only on homes and business but also in terms of culture and identity in addition to being faced with the possible challenge of having to start again elsewhere (see section 8.2.2). Capacity building is critical for resilience in light of this and calls for transferability of skills that can lead to increased social mobility through either the informal or formal job sector. From the study, the concept of slum tourism is a novel concept that residents and stakeholders in Kalingalinga initially thought was far-fetched having indicated that the settlement did not have the prerequisites or perceived "attractions" that would motivate tourists to visit the settlement. Nevertheless, after insightful engagements with the residents, the concept became familiar and some residents recounted their experiences with tourists who visited the settlement from other countries, the majority of the residents embrace the idea of slum tourism as an option in generating revenue (see section 7.5). The will of the inhabitants and stakeholders to engage in slum tourism could be a significant driver in the face

of the challenges, which may conversely also be seen as opportunities for touristic initiatives within the settlement.

#### **Research Question 4: What activities are stakeholders undertaking to promote slum tourism in Kalingalinga?**

Reducing poverty remains an on-going challenge for governments, non-governmental organisations and other stakeholders. To help reduce poverty, especially in view of SDGs, a number of poverty alleviation strategies continue to be developed and applied, such as micro-financing, strengthening governance and job creation. It is evident from fieldwork in Lusaka that the institutional capacity to support innovation in the eradication of poverty exists, although some training and sensitisation may be required (see section 7.7). There is growing scholarly evidence that suggests and positions tourism as a viable tool for poverty reduction (see section 5.2.2), but this is more challenging in urban areas due to the complexity of the decision-making environment, the urban economic system and the nature of urban poverty. While there is consensus among different stakeholders from Lusaka on the role of slum tourism and its potential for poverty alleviation for slum residents, tourism investment and emphasis has mostly been on exotic places rather than the so called “derelict” places of the city (see section 3.5). In the case of Lusaka, areas of poverty like Kalingalinga are deemed by governments as undesirable for tourists, hence efforts have been to make them essentially invisible to visitors. With growing debates and evidence on the potential role of slum tourism in poverty alleviation, government institutions, the Zambia Tourism Agency (ZTA) and Ministry of Tourism recognise the potential that slum areas like Kalingalinga have in facilitating tourism (see section 7.6). The local authority, Lusaka City Council (LCC), is yet to institutionalise pro-poor tourism interventions to focus on revitalising slums through local tourism potential and resources but are open to institutionalising slum tourism and working with other stakeholders in building its potential.

It can be deduced from the study that slum tourism interventions require the development of approaches that reduce negative impacts, or costs of tourism and enhance positive impacts on the local economy and residents (see section 8.5). Thus, in recognition of the potential positive impacts, which include (i) increased demand for goods and services provided by the poor, (ii) increased assets base of the poor and (iii) increased diversification of products and services, Lusaka City Council and institutions such as the ZTA need to take into consideration the following:

- Involve stakeholders in recognising the poor as legitimate stakeholders.
- Link pro poor tourism products with mainstream tourism products.
- Strategies must be adapted to local conditions, target markets and interests of the poor.
- Pro poor interventions should be supported by national level policies and plans.

In delivering pro poor tourism, it is important that local authorities (LA) view tourism as an essential element of their overall management and planning process. It is important that LA adopt tourism planning practices and processes that support local sustainability. LA can play a critical role in demonstrating and securing political commitment through policy development, planning and regulations, providing safety and security that support the potential of slum tourism.

Based on the analysis of the finding in this study, slum tourism has the potential to generate net benefit for the poor if an appropriate framework is adopted. In Kalingalinga the attractions stem from poverty, the conditions it creates and the innovation it inspires in the community, central to which are its people. The benefits of slum tourism for Kalingalinga include shifting perceptions, increased economic activity and capacity building that could lead to poverty alleviation. The support and commitment of stakeholders throughout the process is necessary to facilitate relationship building for sustainable development of slum tourism. Exploring the appropriate approach for Kalingalinga unveiled new knowledge in the field of slum tourism. In sections 9.4 and 9.5 the contributions this research makes to slum tourism theory, practice and policy are discussed.

#### **9.4 Contribution to theory of slum tourism**

Slum tourism typically involves paying a fee to a tour company for exploration of the slum settlement (accompanied by a tour guide), with visits to some projects in the slum, historical sites, meeting slum residents and the purchase of products and services from slum dwellers. While slum tourism activities mainly occur in the slums, in the slums of Lusaka and perhaps in other parts of the world, other activities occurring outside of the slum (with slum dwellers as the participants) can be counted as part of the touristic experience (see section 7.7). In the exploration of slum tourism in Lusaka, two distinctive approaches to slum tourism were

observed, which have been termed ‘Absolute Slum Tourism (AST) and Relative Slum Tourism (RST) by the researcher, constituting a contribution to knowledge (see section 8.4).

Absolute Slum Tourism (AST) – In these slum tours, all activities of slum tourism happen within the slum.

Relative Slum Tourism (RST) – In these slum tours, the initial activities of slum tourism happen outside of the slum providing an impetus for engagement with the slum.

Important in the analysis of tourist visits to slums is how tourists explore slum neighbourhoods. Some slum tourists seek to understand slum settlements through observing social and commercial activities that are taking place in the slum and engaging with slum settlers through such means, this set of tourists meet slum dwellers inside of the slum and form their perceptions based on internal slum visibility and engagement (Absolute Slum Tourism - AST). In the suggested alternative approach, the slum tourist navigates the slum differently, by exploring the slum through the organisations working with slum dwellers outside of the slum and engaging inhabitants through such means. This exposes them to the impact of such organisations on slum dwellers and the challenges slum dwellers face.

Engagement with external actors such as research centres, non-governmental organisations and voluntary organisations who are involved with capacity building within the slum can create a different perspective in the minds of the slum tourist and initiate a different perception and interaction when the tourist visits settlements. The slum tourist whose opinions are formed based on external visibilities and engagement of slum settlements are referred to by the researcher (Olatunbosun Sanusi) as Relative Slum Tourism – RST (see section 8.4).

As part of the pilot inductive phase of this study, the author explored a few slums in Lusaka (Ngombe, Garden, Chipata, Kalingalinga) from April to October 2015 using the RST approach which proved eye opening and inspiring as it revealed the hope that can exist through connectivity that offers opportunity (see section 7.7). This represents a different attraction to slum tourism than the more common AST approach explored by many researchers and tourists. Each organisation identified as a stakeholder in slums was observed to have the potential to



contribute to capacity building in slums through building relationships of trust and collaboration.

In addition to the two approaches to exploring the slum, it is beneficial to review the slum dwellers' perspective. The researchers' visit to informal settlements in Lusaka exposed the slum dwellers' need and desire for visibility, opportunities, understanding and exposure to projects geared towards poverty alleviation (see section 7.4). This exercise also revealed the necessity for synergy among stakeholders directly or indirectly engaged with slum dwellers and the need to explore the wider role they could play in adding value or voice to some of the challenges slum tourism presents (see section 8.2.4). The approach of exploring the slum through Absolute Slum Tourism (AST) unearthed a different understanding of the slum. The notion that slum connotes poverty and negativity may not be far from the truth, however, to truly understand the slum, tourists should endeavour to experience it from both the absolute and relative perspectives of slum tourism. RST, through unveiling activities that slum dwellers are involved in outside of the slum can assist in providing a more holistic view of their experience.

## **9.5 Contribution to practice and policy**

This research provides a contribution to the discourse on urban settlements through presenting a conceptual framework for slum tourism in Kalingalinga that emphasises the role of slum dwellers and other stakeholders, as active participants, involved in the governance and management of slum communities (see section 3.2). The economic, academic and societal impacts may be considerable for Kalingalinga and can be duplicated in other slum settlements, if the slum tourism explored in this research is gradually introduced and supported by all stakeholders. The concept of slum tourism was fairly new to the policy makers and it had not been sufficiently explored as an alternative means of managing slum settlements both by the government and University of Zambia, CURP which was launched in 2015 when the Swansea researcher (Olatunbosun Sanusi) was visiting Zambia (see Chapter Seven). This visit afforded the researcher the opportunity to establish a relationship between Swansea University and CURP, Zambia for collaborative idea sharing which actively impacted on both institutions' capacity for knowledge exchange. From the research findings, it was noticeable that there was a shift in local government understanding of slum tourism rationale and what could potentially be achieved (see section 7.6).

This research is capable of impacting slum research, policy and the local economy in a number of ways. Presenting slum tourism as a product can enhance how effectively spaces within slum settlements are utilised and the exploration of community engagement can enhance potential gains and strengthen inhabitants slum experience. Moving towards a community building approach to development advances relationships and communication between slum dwellers, stakeholders and tourists which can influence public policy on new ways of managing slum settlements and improves alternative methods of navigating slums (see section 7.6). Increasing the visibility and understanding of slums can lead to changes in organisational culture and perceptions towards how slum settlements are viewed and engaged (poorly run tours can add to social stereotypes and exacerbate the marginalisation of slum areas and inhabitants). Slum settlements also stand to attract funding and sustainable investment geared towards building capacity and infrastructural development necessary for reclaiming community identity and increased engagement (see section 3.6).

The resultant boost in economic participation of dwellers and wealth creation may potentially increase their contribution to national GDP and allow them to improve their standards of living. The creation of new markets, that promote sales of locally produced goods and services, and engender economic benefits and social mobility within slum communities. Institutions engaged in slums will be encouraged to work collaboratively supporting knowledge exchange and data sharing which could enhance research capacity, quality and efficacy. This could further contribute to resolving the issue of the dearth in published and internationally acceptable research papers that are needed to generate new information (see section 5.10.2), mitigation strategies and assist in the identification of future research areas, as with this study. This study added to the conversation between slum stakeholders and dwellers in Lusaka and served as a relationship building and sensitization exercise. Although slum tourism was known to some stakeholders it had previously not been fully considered in slum management strategy. By presenting the slum as a resource this study offers a suggestion that can be incorporated in poverty alleviation strategies.

## **9.6 Applying the research findings into practice**

As a result of the research, clear implications for practice have been made. Below are the subsequent recommendations for action, based on observations, findings and analysis of Kalingalinga slum settlement. These may assist policy makers in developing a robust system

towards managing urban areas and could further the economic development and integration of marginalized urban settlements into the mainstream city framework and programmes. They may also assist in the mapping of key resources within various settlements and enhance the experience of tourists or researchers who may be interested in visiting slums and this information could also support urban settlement data sharing on how challenges and limited resources may be better managed (sharing of best practice). Below are some of the recommendations suggested to address necessary aspects of achieving viability in Kalingalinga slum settlement.

1. The slum inhabitants should identify uniqueness in their community and how this local ownership can be translated to products and services that are branded, packaged and marketed.
2. Local and central government authorities need to have a rethink on alternative ways of showcasing the slum settlement and begin to integrate this policy with slum management to enhance infrastructural, social and economic development.
3. Slums should be marketed as a platform for knowledge and tourism exchange. A space of opportunities and capacity building, where youth potential is harnessed, and knowledge shared (academic and cultural). In seeking development and growth, the proclivity of dependency (see Chapter 5) could be addressed through the adoption of interventions that impart skills and knowledge on the community opening the door to self-reliance.
4. The engagement of all the agencies responsible for travel and tourism to reflect slum tourism as a product should be pursued as a national agenda.
5. The government needs to protect unique ideas from slum settlements, to relieve potential conflict between dwellers and tourists and for them to be seen as equal partners when novel ideas are being conceptualized to ensure ideas observed in slum community are not rebranded elsewhere for personal gain.
6. Nurture support for RST framework where slum is seen beyond the poverty, and rather explored for its resource and human potential.

### **9.7 Limitations of research study**

During the course of this research, many positive responses were received from multiple stakeholders and changes in policy were proposed by government officials, non-government organisation (PPHPZ), Kalingalinga participants, ZHPPF and KYC. While these suggestions were positive, this research was not without its drawbacks. The first limitation was regarding the culture and tradition of some of the participants living within the settlement, for example in some instances the head of the household's permission had to be sought before commencement of interview, which may have impacted information offered, however the time spent in Zambia by the researcher in 2015 assisted in bridging the cultural gap between participants and researchers. A further limitation is associated with understanding, while many Zambians speak English, many often prefer to converse in local languages or prefer a mixture of both during conversation, as some words in local languages (such as Bemba and Nyanja) are not readily available in English. To lessen these challenges the researcher in 2015 familiarised with common local languages to build trust and understanding and employed the help of multi-lingual research assistants in support. While taking the time to understand participants views proved inciteful, data gathering using qualitative research is expensive, and maintaining the balance between cost, time and quality proved challenging.

Another shortcoming was participant availability, especially during week days and in the mornings, the findings suggest that while some women were available for interviews in the morning due to working locally in the settlement or the nature of jobs, many men were difficult to reach as they worked external to Kalingalinga slum. Those that were available were engaged in metal fabrication, carpentry and sculpturing, whose areas of business are tailored to tourists and so this introduced an inherent bias. Locating reasonable quiet areas to conduct interviews proved challenging as houses in Kalingalinga are close together, with sound travelling easily which may have impacted responses. The knowledge of slum tourism was limited among stakeholders and this may have affected their judgement on the marketing of slum settlements.

Deliberation around the venue and management of multiple stakeholders during the focus group (FG) discussion also generated a challenge, as multiple opinions were raised on whether to conduct the FG at a community facility in George Compound (settlement), the meeting place was built by a collective of women living in the settlement with support from a partner organisation. This was recognised by the researcher as a great idea to generate revenue and visibility for the centre and the women's association. However, logistics such as releasing of

funds on time for food preparation, and other challenges such as provision of projectors and white boards, distance from Lusaka city centre and parking space plus the attitude of some stakeholders towards organising events in slum settlements influenced the decision to use a hotel in a more affluent area. Holding the focus group in a slum settlement may have provided richer data and allowed more residents to be heard. The challenges suggest that slum settlements are usually invisible to tourists and the stigma being associated with slum dwellers persists. Despite the limitations the research has added to the conversation on poverty alleviation in slum settlements.

### **9.8 Future Research Opportunities**

This research investigated the slum settlement from a qualitative perspective with findings often subjective and results difficult to generalize across the Kalingalinga study population or in other settlements of Lusaka, Zambia. Therefore, future research should explore Kalingalinga community from a quantitative stance or use mixed research methods which are statistically representative and easier to analyse. Slum tourism was considered from a pro-poor tourism perspective during this research, it may not be the only alternative in generating capacity within Kalingalinga slum, future research may consider more potential options capable of delivering similar, or more effective results.

The research indicated that while slum tourism appears to be thriving in many other parts of the world, the introduction of slum tourism in Kalingalinga may be affected by factors such as gentrification and political will and could lead to other negative social concerns. While multiple social indicators of slums continue to persist, one may not truly recognise the real causes of poverty in Kalingalinga complicating the process of conceptualizing solutions. Perhaps further research should review more indicators and the causes of poverty in slums and their relationship with urban settlements and capacity building. A review of the limitations of organisations or stakeholders working in slums and their exposure to lack of funding, external expertise and political interventions could also be conducted to examine their effectiveness. Future research could also review the relationship between different slum settlements as regards migration, to understand possible reason for continuous growth of slum settlements.

In section 4.4 the barriers to sustainability in slum settlements were discussed revealing the complex factors that shape these communities. In depth study of these factors could explain

relationships and causality, adding to the conversation on slum management. Further studies could consider the nexus between capacity building and poverty in slum settlements from a food security perspective through exploring concepts of urban farming and Green Roof Technology. The need for studies on food security is essential as substantial proportion of slum dwellers income is spent on food purchase and is linked to issues of street children in slum settlements (see section 5.10.1). A framework which not only focuses on people as a key contributor to slum sustainability could also be explored (for example security of tenure) and results comparatively analysed.

A closer examination of the economic activity resulting from slum tourism could assist in the evaluation of slum tourism. The impact of slum tourism on small and medium business in slum settlements and how this influences creativity of activities and poverty within slum spaces could be explored as future research. Equally important in this area of research is the potential slum tourism offers as a resource for capacity building, contrary to slum upgrading, that accords opportunities for creativity such as marketing and documentation of individual stories (such as folklore, personal experience, culture and traditions) and other unique activities, including job creation (working as tour guides). The dichotomy between the pursuit of happiness and poverty alleviation is another area of research that could be suggested for future research. More information is needed to capture the voices of the poor and how current government interventions around Kalingalinga may be destabilizing their prospects for stability, happiness and creation of wealth.

## **9.9 Summary**

The researcher's initial exploration of slums in Lusaka and research findings revealed that slums are unique spaces with the potential to attract tourists and offer mutual benefits to slum inhabitants. Kalingalinga could benefit from being visited and engaged through the mechanism of slum tourism, with a pro-poor approach which has the potential to generate net benefit for the poor (see section 3.6). Poverty remains at the root of attraction to slum settlements, although it is not unique to slums. While poverty is often regarded as a challenge by slum dwellers it is a predominant characteristic that continues to attract tourists to slums globally and offer opportunities for development and innovation. It is on the basis of this global illustration of slum and by the definition assigned by UN-Habitat (see literature review) that these research findings and analysis may be considered generalisable. This is supported by the researcher's

literature review that included material from around the globe identifying that many slum settlements worldwide are relatively poor neighbourhoods compared to formal urban areas and as a result face a number of similar challenges (see section 2.4.2). Poverty theory unveiled variation in the narrative of what constitutes poverty and considered other factors such as the market and states as equal contributors (see section 5.2.1). The multiplicity of characteristics, definitions and contributors to poverty indicate that poverty alleviation mechanisms must be dynamic, innovative, and population specific which requires the collaboration of a wide range of stakeholders.

Social urbanism through the adoption of pro-poor tourism is changing narratives of how policymakers view slum settlements in countries around the world (see section 3.6). Previously condemned places in Columbia and Brazil have begun to benefit from improved infrastructure and visibility that brought with it the finances required to develop human capacity, fostering peace and ingenuity whilst creating a feedback loop of increased participation and formalisation of processes for sustainability. This led to questions of whether the ‘social urbanism concept’ could also be applied in Kalingalinga to raise opportunities and perceptions of Kalingalinga to reflect and market to tourist the rich culture and entrepreneurial spirit observed. The social urbanism concept, similar to the relative slum tourism (RST), presents an alternative model of slum tourism. This is considered an important factor in the argument of tailoring solutions to suit the socio-economic and resource mix of a place, as it draws in tourists. By adopting the Relative Slum Tourism (RST) approach, through using established links with stakeholders and consequent activities being created, capacity building could be accelerated. Thus, the conditions and prospects of a place are determined by the people who inhabit and operate within the space be they residents, organisations, businesses or institutions, the relationships that define the community therefore become important.

Overall, this research suggests that the people of Kalingalinga ought to be the drivers of community initiatives, this is considered central to the viability of slum sustainability as shown in the conceptual model (see section 8.5). In face of the challenges they face Kalingalinga’s residents have displayed their resilience, entrepreneurship and the opportunities they are able to create, which act as attractions for tourists. As the main actors, the people of Kalingalinga are responsible for the co-construct of Kalingalinga slum as an urban tourism resource. Through collaboration with multiple stakeholders and the welcoming of tourists, Kalingalinga residents

have the ability to control the narrative emanating from the settlement and steer their course along the path towards poverty alleviation.



## 10 Appendix

### 10.1 A – Review of organisations working in slums

This study in the early stages contacted over 20 relevant stakeholders across the globe, mostly non-governmental organisations. The reason is to document the mission, vision and goals of organisations working in poor countries and to establish the rationale behind their goals and interventions in these communities. In contacting stakeholders, a mixture of telephone calls and e-mail was deployed, and a table created in excel to document findings as presented below.

<b>Names of organisations</b>	<b>Contact name</b>	<b>Date &amp; time (response)</b>	<b>Mission (source from e-mail and online)</b>	<b>Comments</b>
WaterAid	Supporter Care Team	May 22, 2017 at 7:19 AM	“Clean water, sanitation and hygiene education to some of the world’s most vulnerable communities”	Intangible
SOS Children's Villages UK	Karis Mulholland	May 22, 2017 at 7:36 AM	Giving children a family, a community and a promise of a brighter future	Intangible
WorldVision		May 22, 2017 at 7:40 AM	Working with the poor and oppressed to promote human transformation, seek justice and bear witness to the good news of the Kingdom of God	Intangible
Voluntary Service Overseas (VSO)	Anna, Donna, Calum Kinsella	May 22, 2017 at 7:46 AM	Fighting poverty through volunteering	Intangible

Slum Film Festival	George (Festival Manager)	May 22, 2017 at 9:08 AM	Celebrating creativity of filmmakers living and working in slums	Tangible
SlumAid Project	Tony Soares	May 22, 2017 at 9:02 AM	“Our mission is to send volunteers from the UK and elsewhere to work on projects that benefit slum dwellers. We work mainly in Mumbai but also in Jaipur, India and Nairobi, Kenya”	Tangible
WaterAid	Eleanor Cook	May 22, 2017 at 4:20 PM	Making water, toilets and hygiene normal for everyone, everywhere.	Intangible
AIS - Amnesty International	The Communications Team	May 23, 2017 at 11:49 AM	Protect women, men and children wherever justice, freedom, truth and dignity are denied	Intangible
Oxfam	Vicky Taylor (Supporter Relations)	May 23, 2017 at 2:37 PM	Responding to emergency and preventing poverty	Intangible
CARE International	Sue Smith (CARE Customer Service)	May 23, 2017 at 3:34 PM	Fighting for poverty and injustice in the world most vulnerable places	Intangible
Christian Aid	Pauline Bailey	May 24, 2017 at 2:14 PM	Fighting global poverty	Intangible
WIEGO	Karen McCabe	Jun 7, 2017 at 10:29 PM	“WIEGO is a global research-action-policy network with a focus on informal workers”	Intangible
Shack/Slum Dwellers International (SDI)	Ariana Macpherson	Jun 14, 2017 at 3:19 PM	Ending global urban poverty	No Response
Save the Children	Donor Services	May 24, 2017 at 6:51 PM	“Save the Children and our work to ensure that children not only survive, but thrive”	Intangible
WFP	Michela Saponaro	May 25, 2017 at 10:29 AM	“WFP main objective is ending hunger”	Intangible
World Bank	External and Corporate Relations, The World Bank	May 25, 2017 at 7:18 PM	International development, poverty and sustainability	No Response

RIPPLE Africa		May 26, 2017 at 9:16 AM	Empowering communities to achieve a sustainable future	Intangible
UN-Habitat	Katja Dietrich: Regional Program Advisor Participatory Slum Upgrading Programme (PSUP) Housing and Slum Upgrading Branch UN-Habitat Nairobi, Kenya	May 23, 2017 at 6:28 AM	“UN-Habitat is working on slum upgrading in a large number of countries around the world. Biggest are the Participatory Slum Upgrading Program (PSUP) which is featured on the UN-Habitat web side with its work in 35 countries. The program recently finished a Phase where 9 countries in Africa also undertook implementation on the ground. The documentation is still ongoing and not completed. Nevertheless, two impact stories are published on Kenya and Cameroun”	Tangible
African Slum Journal	Thomas Ombiro (Coordinator)	May 22, 2017 at 9:42 AM	“We are much willing to cooperate and do your research together with you. We can also take you to visit the NGOs working in these areas. Here in Kenya we are working with all the slums that are in the capital city (Nairobi)”	Tangible
Addressing the Unaddressed	Alex Pigot	May 30, 2017 at 9:47 PM	Providing a unique postal address for people living in slums and shanty towns around the world.	Intangible
WANGO	Hannah Alexander	Jun 1, 2017 at 6:46 PM	“We may be able to feature a blurb in our monthly e-newsletter, "NGO News," as well as post a notice to the	Tangible



### 10.3 C – Consent form

**SWANSEA UNIVERSITY, WALES UK.**

**CONSENT FORM**

**Title of research project:**  
Slum as Urban Tourism Resource: A Case Study of Zambia

**Name and Position of researcher:**  
Olatunbosun Sanusi, PhD Student, Swansea University.

1. I confirm that I have read and understood the information sheet for the above study and have had the opportunity to ask questions. (Please tick (✓))

☐

2. I understand that my participation is voluntary and that I am free to withdraw at any time without giving a reason.

☐

3. I agree to take part in the study

☐

4. I agree to the interview being audio recorded.

☐

5. I agree to the use of anonymised quotes in publications.

☐

Name of participant:	Date:	Signature:
Name of participant:	Date:	Signature:

#### 10.4 D - Role of Research Assistants (RA) and Policy Makers (PM)

<b>Role Description</b>	<b>Name</b>	<b>Position</b>	<b>Organisation</b>	<b>Responsibilities</b>
Research Co-ordinator	G. S	Director	Centre for Urban Research and Planning (CURP)	Overall research planning and management
Research Assist. 1	E. C	Researcher	CURP	Support with interviews, translation and transcribing
Research Assist. 2	C	Researcher	CURP	Support with stakeholder's management, translation and transcribing
Research Support	C. C	Community Support Assistant	Zambia Homeless and Poor People's Federation (ZHPPF)	Participants identification and engagement; Local knowledge and resident of Kalingalinga (19 year)
PM	L	Senior Settlement Officer	Lusaka City Council (LCC)	Slum settlement Knowledge and Researcher
PM	C. K	Senior Community Development Officer	Lusaka City Council (LCC)	Slum settlement Knowledge, engagement and Researcher
PM	M. M	Acting Director, City Planning	Lusaka City Council (LCC)	Review policies on slum settlement.
PM	F. S	Town Planner	People's Process on Housing in Zambia (PPHPZ)	Slum settlement Knowledge, engagement and Researcher
PM	V. K	National Leader	ZHPPF	Slum dweller's activities coordination and management

PM	K. C	Cultural Affairs Officer	Ministry of Tourism and Arts	Review tourism policies and provide guidance to tourist visiting Zambia
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### 10.5 E - Demographic details of Slum Stakeholders

Slum Stakeholders	Gender	Highest level of Education	Employment Status	Marital Status	Length of Residency (Years)	Research Assistant/Res.	Dates
Participant 1	Female	Grade 2 (Primary)	Unemployed (Land Lady)	Widow	65 (Born in Kalingalinga)	Bosun /RA2	11/09/19
Participant 2	Female	Grade 5 (Primary)	Unemployed (Land Lady)	Widow	Not Sure	Bosun / RA2	11/09/19
Participant 3	Female	Grade 2 (Primary)	Unemployed (Land Lady)	Married	42 (Age 63)	Bosun / RA2	11/09/19
Participant 4	Female	Grade 7 (Primary)	Unemployed (Land Lady)	Married	39	Bosun / RA2	12/09/19
Participant 5	Female	Grade 7 (Primary)	Self –Employed (Land Lady)	Married	29	Bosun / RA2	12/09/19
Participant 6	Male	Grade 12	Self-Employed (Buys and Sells Charcoal and Fish; Land-lord)	Single	30	Bosun /RA 2	12/09/19
Participant 7	Male	Tertiary	Unemployed (Retired Accountant)	Single	14	Bosun /RA 2	13/09/19
Participant 8	Female	Grade 10 (Secondary)	Self-employed (Business Lady)	Single	5	Bosun/RA 2	13/09/19
Participant 9	Male	Grade 3 (Primary)	Self-employed (Carpentry/Crafts)	Married	15	Bosun /RA 2/RA 1	14/09/19
Participant 10	Male	Grade 12 (Secondary)	Self-employed (Carpentry/Crafts)	Married	10	Bosun /RA 2	14/09/19

Participant 11	Male	Tertiary	Self-Employed (Business)	Married	29	Bosun /RA 2	14/09/19
Participant 12	Female	NIL	Self-Employed (Land Lady)	Widow	23	Bosun /RA 2	14/09/19
Participant 13	Female	Grade7 (Primary)	Self-Employed (Land Lady/Business Woman/ Sell Charcoal and Groceries	Married	45	Bosun /RA 2/RA 1	14/09/19
PPHPZ	Male	Tertiary	Employed	Single	N/A	Bosun /RA 1	18/09/19
LCC	Female (x3) - One staff left early due to other commitments	Tertiary	Employed	Married	N/A	Bosun /RA 2/RA 1	10/09/19
Ministry of Tourism	Male	Tertiary	Employed	Single	N/A	Bosun/RA 1	19/09/19
ZHPPF	Female	Grade 9 (Secondary)	Unemployed (Volunteering)	Widow	35 (George Compound)	Bosun/RA 1	18/09/19
CURP	Male	Tertiary	Employed	Single	N/A	Bosun	20/09/19

### 10.6 F – Focus Group Responses to Research Questions

#### FG 1 Submission – Responses to research questions 1 and 2

*“Our group were looking at opportunities and benefits and I think before we even get into the opportunities and benefits the mere fact that in Zambia the very fact that we are 70% slum related that is the biggest opportunity which we have. Recently I was in Chisamba where I was with the solid waste guys and like you know the solid waste guys are talking about turning waste into a resource. So just because we are 70% littered with slums, we can turn that around and make it a positive. So, at the top of the opportunity there is the opportunity for local economic development in terms of the business and entrepreneurial opportunities that come with it. They are trickle-down economics that go down to the grass roots and as such there will be increased GDP, I reflected on for like example what they call the Chateau region in France.*



*Most of my colleagues here from the council love wine (guest from group they love wine,) yes, they love wine. The Chateaux region in what you call it in France this is where most of the wine and grapes ... there is a good climate for that. Coming down to probably Zambia you know like we know of that Mongu rice, Nakonde rice you know that can draw someone from all over to come and want to see how is that famous Mongu rice done, how is this Chi Cup you've all heard of this Chi cup, you know Uncle T's Chi Cup there at Kabwata. You see my colleagues from the council once again they are very, they are so excited, they have got have practical hands-on experience, so you see there's a lot of exchange of money which will be very good for our mama's and papa's there at the grassroots. Trickle-down economics again, you know in your first slide you were mentioning of poverty issue, we will improve poverty because of the improved livelihoods of the slum dwellers. There's an opportunity to have improved support infrastructure from government because you know if this is a marvel which is going to be marketed just like it is at Victoria Falls, I think some of us we'd had an opportunity to go to Vic Falls you see the type of support infrastructure which is in Livingstone because of the volumes of tourists which go there. There are like what we are terming by-products investment opportunities you find that someone was, has come from the UK wanting to go and have a Chi cup at Uncle T's and then boom he sees other investment opportunities in that area so there are those by products kind of you know like what we call in the NGO sector the unexpected outcomes this guy was just going to have chikombo then he finds other opportunities in that locality. Social networking and linkages which are very important especially in modern day society, they say its not what you know but who you know to get things going, so there will be a lot of cross pollination of cultures. And also, I just remembered there's a quote from Dalai Lama where he was talking about you know when you talk just repeating what you already know but if you listen you can learn something new, so imagine you've got guy that's coming from Zimbabwe he can learn a thing or two from me. You also have social cohesion and inclusion, and this improves community participation because imagine if you were to market you know like kwa George people have that moral and to make sure everywhere is clean, everyone will be his brother and sister's keeper in the neighbourhood. It also promotes local philanthropy this is a concept that's being explore by one of our partners Zambia Governance Foundation. Where you know sometimes you want to think outside of the box. You don't realise where you are coming from there's a lot of potential and people just like example you know when people have made it in life, they tend to think about like for example I am pretty sure most of you are from villages, you have come out of that village you left your umbuyas when you have a bit of money you start building them proper structures. Solar, boreholes,*

*that's the same concept with local philanthropy, people who have moved out of these Komboni's and they want to be associated. "Eh mwana ni wa Komboni" (this is a child of the compound). I still remember the former Minister of Water and Sanitation Lloyd Kaziya, he always used to remind people that people I got through this, even ... Bwalya Kasese MCA, CEO she's also a by-product of so you can see in her capacity, in their capacity they are also channelling that development capacity in their respective ministries. So, what the last one, it basically promotes and exposes untapped talents and skills. That is it"*

## **FG 2 Submission- Responses to research question 4**

*"Yes number 2 and our group was called Zimbabwe. Quickly our task was to look at the role of stakeholders in promoting slum tourism so what we did first was to identify some important stakeholders. And as you can see, we identified government ministries, local community, academics institutions, community organisations NGOs among others so because we are very ordered thereafter, we said ok can we now list the roles for the stakeholders that we identified. Beginning with government we thought security was paramount not just for the tourists but for the local people, I think the example of what if a child is raped or there is blood shed of a gun so we thought obviously this is a priority of government, it's a priority for all of us but government takes a very keen interest in providing security. And then we also thought of tourism marketing of slums we were thinking in terms of the Ministry of tourism for example. Their website there can be a section talking about slum tourism for example if you are in Lusaka you go to Chibolya. You know Chibolya is in the negative it's a place for drugs and what not but what good can we tell about Chibolya put it on the website so that a person even in the US can see and develop that interest to say when I visit Lusaka I want to go to Chibolya when I visit Livingston I want to go to Malota. I want to go to Makululu in Kabwe I want to go to in Kitwe Kantolombs in Ndola. Alright. And then we also thought government could also come in trying to assist in financing and resourcing the organisation to promote the growth of urban tourism and also policy formulation deliberately targeting slum tourism if they can deliberately try to promote urban tourism. Then coming to local authorities we thought one of their roles could be profiling and mapping for example if you pick out George and say what is it that may be of interest in George, ok theirs Katambalala Market where you get all these traditional Zambian foods there's an old house where the parents to Guy Scott used to live and all those place so you map those places and this can be information which can be feeding into when we are now trying to market this tourism because you have profiled and mapped it into the website and people can be able to see I want to go to Kamwala market and taste this kind*

of food and things like that. And then community engagement and awareness creation we also thought the local authorities could come in and working together with communities together create that awareness and remove this negative perception. Sometimes in our communities when you see a white person its either you see him and for those who see them and have got a different mindset would want to see how can I exploit money from this white person or others will want to see how ok may now its more of opportunity for me to see how I can look more vulnerable and say ok can you help me I'm really poor but we want local authorities and communities to try and work together and create a better picture about these communities. Also financing and resource mobilisation could also come in handing and documentation like creating a database because local authorities like you know the slums they have their and areas they manage what is in those slums community security like you could have , the community itself should be the starting point to provide security for themselves and the visitors as well and profiling and mapping as well they know their area better they know what is where and things like that and also implementation. When you talk of hosting for example when you go to Zingalume a tourist may be hosted by Joyce, so it's at that local level where there is direct interaction between the tourist and the people themselves, it's not Gilbert to go and host tourists somewhere and in the morning they drive to George drive around and go but in the evening but you'd have a situation where the community have got hands on when it comes to implementation of such initiatives. And also marketing ok I think in the presentation there was that aspect where there is zero awareness of people trying to understand that they can market slums, or we can market slums so that we are able to attract urban tourism. And then lastly, we've got academic institutions and we feel they can help in terms of research and also formulation of policy briefs which can help inform the government on what is trending and what needs to be changed or adapted in order to sustain or promote urban tourism and also documentation. Like the way the centre is at UNZA we feel it can be a good platform to host this kind of information which can be easily accessible. And then we've got this other group of stakeholders in terms of advocacy we feel they could come in hand as well awareness creation, financing opportunities, finding opportunities to promote tourism if they do that it would be a good thing”

### **FG 3 Submission- Responses to research question 3**

“We were talking about the challenges of promoting slum tourism and then the first challenge is prostitution or rather sex industry. The best example is Livingston like you know there are a lot of tourists coming there and the general public is like I think this is an opportunity for me

to make money, they'll start like having affairs like sleeping around to get money, I think Livingston is the best example for sex industry And then drug abuse, like you just have so many drug abuser in the community both the local and the tourists the same tourists that are coming in because you don't know what their background is where they come from and they are just drug addicts they come they mingle with the local community and it becomes a mess. And then theft it creates so much of theft and just like what D said to the community they see someone who is like, they see a muzungu and they see money in there they see someone who's dressed some with money so they may try to. The moral decay when we talk of moral decay, it the same with the issue of prostitution, so you find that our culture is being diluted. So, when they come there you find these Indians just come with their Saree they just look and say I also want a Saree and leave my belly button out and everything, so you find that there is cultural dilution. Then loss of culture which is the same as moral decay or just want to walk and talk like them we started using forks, bum shorts, sagging and everything, I was only allowed to wear a chitenge now I am wearing jeans and I don't care that my pant is showing and everything, so it's really destroyed our culture as Zambians we have lost it. Then cost of living, houses the cost of living is high (yes what we mean there is you know in tourism capital like Livingston the cost of life there is very expensive the tomato that we buy at Soweto 2 kwacha almost a plate, there just one tomato a small one can cost as much so you find that its quite a high cost of living things become expensive from normal price they go, and it affect the vulnerable one). So then we have poor infrastructure like for example we talked about roads in our slums, even when you talk about George you find that the road network is bad now if you want to take these visitors out and you need a vehicle and everything like just poor road networks, there no dust roads or anything poor infrastructure, just water and sanitation drainages you just find 'manzi inankala chabe mu' (water just stays in the ) drainage, plastic and everything, it's just so dirty and this is where you get all those mosquitoes everything more or less when your house is even near to that same drainage and then a visitor is sleeping in their mosquito bites and then malaria will get the (just an addition on the same, for example we have challenges in sanitation, for example let's just talk about George there's no sanitation because when it comes to it, to put a sewer line maybe it will require to demolish 50 million houses and where will the government have money to accept. So, it is a challenge.) Then dissemination of information talk about when the information is reached in the community when there's this talk of slum tourism in the community how will they react. How will they're response be, how well will they receive the concept and then also political interference this has been like the biggest or greatest challenge. I think the council will be the best to explain when it comes to political interference

*(although I'm not from the council I'll explain, everything that is done in this community there is a lot of political interference when it comes to so called cadres, I can just give you an example. In Kanyama right the Chinese were making water network side, they settled in water trust premises, just for them to come there the cadres said what are you doing here. So after they had put infrastructure where they were keeping their equipment, when they had finished their work they decided to gather their material, so during the gathering the counsellor was around the cadres came and said not your not taking this these are ours until the issue went to the police and the police intervened and that's when they allowed them to continue, that was political, political interference, why should they harass someone who has brought development in your area so those are some of the certain examples we are talking about when we talk about political interference. When new development comes in there is always that interfering from community political, and it affects each and every one). So yes, we also have lack of privacy whereby you want to have privacy outside then you think of this thing the visitors are about to come so let me clean up the place. That's one of the challenges again. Then communication barriers, here comes someone from Europe they only know their language and then there's this where they reach a household where everyone just speak Nyanja, so there just be that communication barrier, there won't be that networking, the visitor won't enjoy their stay because we are not getting along, or accents are so thick, someone is trying to say, water and you can't understand. So, communication barrier is the biggest challenge"*

## **10.7 G – Research Questions**

### **Kalingalinga Slum Settlers**

The residents of Kalingalinga slum are the main stakeholder in the slum under study. They are the ones exposed to the challenges of slum settlements, including the points of contact for the tourist. The challenges of stigmatisation, pacification, voyeurism and infrastructure are some of the issues they may have to cope with for sustainability. Therefore, it would be imperative to understand their point of view on slum tourism and its impact. The research questions below address the viability of slum tourism from slum dwellers perspectives in Kalingalinga.

Section One:

Location of Interview	
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Date	
Name of Interviewer	
Name of Research Assistant	
Interview Number	
Slum Inhabitant Demographic Information	
Gender	
Highest level of education	
Employment Status	
Marital Status	
Length of residency	
General Observation of interviewee receptiveness, body language, weather condition and environment	

## Section Two:

### Proposed Questions

- What are the main tourist attractions in Kalingalinga?
  - What activities do the tourists who come here engage in?
  - Have you heard of slum tourism?
  - Have you seen tourist in Kalingalinga?
  - What activities are tourists engaging in?
  
- What are the benefit of slum tourism in Kalingalinga?
  - Do you think slum tourism contributes to poverty alleviation?
  - How do you think slum tourism benefits the community?
  - Have you seen tourists buying products from residents?

- Have you personally benefited from slum tourism?
- What kind of tourist activities would you like to see?
  
- What are the challenges of slum tourism in Kalingalinga?
  - How long have you lived in Kalingalinga slum?
  - How do you feel about slum tourism?
  - How do you feel about slum tourism?
  - What is your level of formal education?
  - What do you think is the motive of slum tourist?
  
- What activities are stakeholders undertaking to promote slum tourism in Kalingalinga?
  - Have you had any interaction with the tourists? If yes? What kind of interaction or engagement?
  - What level of engagement would you be willing to subscribe to?
  - Would you be open to welcoming slum tourist to your neighbourhood?
  - Do you think slum tourism is a viable product that could bring social-economic development within Kalingalinga?

## **Zambia Tourism Agency (ZTA)**

The Zambia Tourism Agency formerly known as the Zambia Tourism Board is a vital stakeholder in the investigation of the viability of slum tourism in Kalingalinga, as tourism products are promoted and advertised through the organisation who are also authorised to ‘license tourism enterprises and set standards’ in the tourism industry in Zambia (Zambia Let’s Explore, 2019). The views of the agency seem very important to be included in determining if slum tourism could be considered as a potential tourism and interventionist product in Lusaka, Zambia. The slum settlement is an assemblage of many stakeholders so capturing the input of tourism agency will help understand the ramification of the agency currently not yet including slum tourism as a tourism product and there take on the viability of slum tourism.

Section One:

Location of Interview	
Date	
Name of Interviewer	
Name of Research Assistant	
Interview Number	
Slum Inhabitant Demographic Information	
Gender	
Highest level of education	
Job title	

Section Two:

Proposed Questions



- What are the main tourist attractions in Kalingalinga?
  - Have any tourists expressed interest in visiting slums?
  - Would you be interested in tourists willing to visit the slum?
  - Would slum tourism be a product you would like to encourage slum tour operators or other companies to engage in or market?
  
- What are the benefits of slum tourism in Kalingalinga?
  - Do you know the benefit slum tourism may contribute to communities?
  - Do you think slum tourism can contribute to the Zambia's economy?
  - Do you think slum tourism can alleviate poverty if presented appropriately?
  
- What are the challenges of slum tourism in Kalingalinga?
  - Have you heard of slum tourism?
  - Have you heard of anywhere in the world where slum tourism is taking place?
  - What do you think are the challenges of integrating slum tourism into the mainstream tourism agenda?
  - What challenges do you envisage from slum tourism activities?
  - Do you see slum tourism conflicting with other ZTA products?
  - What are your views about slum tourism in Lusaka?
  
- What activities are stakeholders undertaking to promote slum tourism in Kalingalinga?
  - Are slums amongst the tourist sites marketed by the agency?
  - Do you encourage tourists to visit slums?
  - Is ZTA open to other types of tourism? Such as slum tourism?

- Would you be willing to work with other stakeholders to discuss slum tourism?
- How would you describe the relationship between slum dwellers and government?
- How can slum tourism be introduced to slum settlements in Lusaka?

### **Slum research institutions and other agencies**

The other organisations considered for interviews are the Centre for Urban Research and Planning, University of Zambia, Lusaka (CURP) and Lusaka City Council (LCC). The two organisations often collaborate on attracting funding from the international organisation on slum research, considering slum settlement is an urban issue LCC is interested in, and CURP seems to be one of the leading research hubs on slum settlement research in Zambia.

Interviewing the two organisations will enrich the data from research finding and could give new insights into the viability of slum tourism in Kalingalinga and how organisations could work together to alleviate poverty in the slum.

#### **Section One:**

Location of Interview	
Date	
Name of Interviewer	
Name of Research Assistant	
Interview Number	
Slum Inhabitant Demographic Information	
Gender	
Level of Educational Achievement	
Job title	

#### **Section Two:**

#### **Proposed Questions**

- What are the main tourist attractions in Kalingalinga?
  - What do you understand by slum tourism?
  - Do you encounter slum tourists during your visit to slum?
  - Do you engage slum tourists in your research or work?
  - In what capacity, do you engage slum tourists in your field of work?
  - What do you think attract them to the slum?
  
- What are the benefits of slum tourism in Kalingalinga?
  - Do you think their project are linked to poverty alleviation?
  - What benefits do you foresee of slum tourism?
  - Do you think slum tourism could benefit slum dwellers?
  - Would you promote the potential of slum tourism to organisations you work with?
  - In your own view, can slum tourism alleviate poverty?
  
- What are the challenges of slum tourism in Kalingalinga?
  - Would you support the introduction of slum tourism in Lusaka?
  - What challenges do you envisage may affect the growth of slum tourism in Lusaka?
  
- What activities are stakeholders undertaking to promote slum tourism in Kalingalinga?
  - Do you collaborate with international NGOs attracted to slums?
  - What projects do you think they are engaged in?
  - How can slum tourism be introduced to slum settlements in Lusaka?

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