

**FACTORS INFLUENCING SUSTAINABILITY OF WATER SANITATION AND  
HEALTH PROJECTS IMPLEMENTED BY SUSTAINABLE DEVELOPMENT AND  
PEACE BUILDING INITIATIVES AT FAFI CONSTITUENCY, GARISSA COUNTY  
KENYA.**

**BY  
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**A Research Project Submitted In Partial Fulfilment for the Requirements for the  
Award of the Degree of Master of Arts in Project Planning and Management of the  
University of Nairobi.**

**2015**

**DECLARATION**

This research project is my original work and has not been submitted for any award in any university

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This research project has been submitted for examination with my approval as the University Supervisor.

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## **DEDICATION**

I dedicate this document to my family, my lovely wife Rahab and our beautiful daughter Tashia for the support they have accorded me all through. Thank you for your love, patience and encouragements whilst I denied you the attention needed pursuing this degree. I further dedicate this to my Mum Juliana Waruguru and my late Dad Jeseo Kamau for their investment in educating me and their constant encouragement in my endeavours.

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## **LIST OF ABBREVIATIONS AND ACCRONYMS**

AIDS:	Acquired Immunodeficiency Syndrome
CBOs:	Community Based Organisations
DAC:	Development Assistant Committee
FBOs:	Faith-Based Organizations
FDGs:	Focus Group Discussions
FHI:	Food for the Hungry International
GRO:	Grass Roots Organisations
HIV:	Human immunodeficiency virus
MDGs:	Millennium Development Goals
NGOs:	Non-Governmental Organizations
ODA:	Official Development Assistance
OECD:	Organisation for Economic Co-operation and Development
RCI:	Red Cross International Project
SAP:	Structural Adjustment Program
SYPD:	Sustainable Development and Peace building Initiatives
UNEP:	United Nations Environmental Programme
UNESCO:	United Nations Education, Science and Cultural Organization
UNICEF:	United Nations Children's Fund
UNOCHA:	United Nations Office for the Coordination of Humanitarian Affairs
USAID:	United States Agency for International Development
WASH:	Water Sanitation and Health
WFP:	World Food Programme

## ABSTRACT

Non-Governmental Organisations intervene in community development on different levels of operation. Sustainability is the ability of an organization to develop a strategy of growth and development that continues to function indefinitely. Research has shown that projects implementation in sub-Saharan Africa; often demonstrate low levels of sustainability. The key causes for this include inappropriate legislation; insufficient institutional support; unsustainable financing mechanisms; ineffective management systems; and lack of technical backstopping. This study therefore seeks to determine factors influencing sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya. The study served as a guide to development practitioners to design and implement sustainable development interventions in the area under study to improve on the life and livelihood of beneficiary communities. Further findings of the study helped donors to determine which areas of intervention need to be emphasized to bring about the necessary growth and development. This study adopted a descriptive survey. The study hence considers a survey design suitable since data was gathered from the various projects being undertaken by SYPD. The study examined a sample of staff drawn from the population of 32 management staff working at SYPD and 100 household beneficiaries in Fafi Constituency, Garissa County Kenya. A sample size of 112 respondents was picked for this study. With respect to project sustainability, this study utilized a questionnaire and an interview guide to collect primary data. This study collected both qualitative and quantitative data using a self-administered questionnaire and an interview guide. Before processing the responses, the completed questionnaires were edited for completeness and consistency. The data was then coded to enable the responses to be grouped into various categories. Data collected was quantitative and qualitative and was analyzed by descriptive analysis and content analysis. Descriptive statistical tools were used to analyze quantitative data whereby computers software's were used to generate tabulations, percentages, and measures of central tendency. Tables were used to present responses and facilitate comparison. Qualitative data was analyzed using narratives statements based on the relevant thematic areas and the findings given in prose form. In descriptive statistics, the study used frequency, mean, standard deviation and percentages. The analyzed data was then presented in tables and figures. On the other hand, qualitative data was analyzed by use of content analysis and results presented in prose. The study concludes that there is a significant positive influence of community participation, technical expertise, funds utilization and political factors on sustainability of water sanitation and health projects. The study therefore recommends that the policy makers should ensure that the policies are favorable to the private sectors to make them have the will to participate in the project. The study also recommends that all the staff should be frequently trained to acquire the right skill to enhance expertise in execution of responsibilities. The research suggests that the same studies should be conducted on the other parts of the country to enhance better sustainability of water sanitation and health projects in all parts of the country.

## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.1 Background of the Study**

Non-Governmental Organizations (NGOs) have increasingly been recognized today as vital development partners in aid delivery. This recognition is grounded on the fact that they have been able to position themselves before the donor community as credible institutions that seek the interest of vulnerable people in their quest to gain a voice in the social, political, and economic discourse of a nation (Francis, 2006). NGOs are pronounced in local, national and international scenes where they engage in activities as diverse as grass root mobilization, community empowerment, micro-finance; humanitarian relief and emergency assistance.

Non-Governmental Organisations intervene in community development on different levels of operation. One of such levels is through direct provision of programme or project for the community. As such, many communities have benefited from health centres, schools, toilets, boreholes and others which the NGOs funded.

Asamoah (2003) notes that NGOs are particularly critical in circumstances where state funds are limited, political situations are fluid, natural disasters resulting from both predictable and unpredictable environmental circumstances occur, ethnic strife is rampant, and the level of per capita income severely restricts the ability to purchase needed goods and services social, educational and economic. In the last few years, Africa can be viewed as a home of increasing numbers of NGOs. There is almost no country in Africa that does not have some kind of contact with NGOs as they have found favor in bodies like United Nations, European Union, International Monetary Fund and the World Bank and other bilateral and multilateral organizations who believe they are an important part to put African governments in check on issues of mal-administration and human rights.

From a global perspective, the donor funded development projects are involved in a wide range of activities and programmes at national and regional levels all aimed at improving the well-being of poor people. Donor agencies such as Faith-Based Organizations (FBOs),

NGOs such as United Nations Education, Science and Cultural Organization(UNESCO), United Nations Children's Fund (UNICEF) , World Food Programme (WFP), United Nations Environmental Programme (UNEP), Food for the Hungry International(FHI), Red Cross International project (RCI), Pastoral Initiative (PISP) and Community-Based Organizations (CBOs) have historically provided vital services to needy populations and contributed significantly to the strengthening of many individuals' lives, families and communities (Vidal,2001).

The past two decades have witnessed an increase in the official aid to NGOs, with the United States contributing nearly 50% of the funds to NGOs. Between 10 -15% (approximately 6 billion dollars) was provided in support to development projects and programs to NGOs (ODI, 1996). From 1975 to 1988, the level of total overseas development assistance increased by 43% from US \$27.3 to 48.2 billion, 11% growth from 27.3 to 30 billion dollars and from 1980 to 1988, the amount of aid allocated to NGOs rose from US\$1.04 to 2.13 billion (Alan Fowler, 2010).

In the ten years between 1984 and 1994, the British government on the other hand increased its funding to NGOs by almost 400% to £ 68.7 M. In many post-colonial countries, real per capita GDP has fallen and welfare gains achieved since independence in areas like food consumption, health and education have reversed. While quoting the UNDP Reports of, (2002), Firoze (2011), recorded important and overwhelming statistics. Sub- Saharan Africa as a whole per capita income dropped by 21%, between 1981 and 1989. Madagascar and Mali in 2010 had per capita incomes of \$ 799 and 753 down from \$ 1,258 and \$ 898 25 years ago. In 16 other Sub-Saharan African countries per capita incomes were also lower in 1999 than in 1975.

In 2007, Aid by non-governmental organizations (NGOs) from all donor countries of the OECD's Development Assistance Committee (DAC) amounted to \$15.5 billion in 2003 (OECD 2007). Quoting the Overseas development institute, Firoze (2011), noted that, NGOs in 1992 distributed between 10 and 15% of all aid to developing countries. DFID allocates 8

% of its funds to NGOs, and the US government transfers 40% of its aid through NGOs programs.

The countries of Sub-Saharan Africa have been consigned to the bottom of the globe's rich list. In 2008 for example, 47% of the population of sub-Saharan Africa lived on \$1.25 a day or less (United Nations, 2012). Decades of economic stagnation and declining living standards have turned Sub-Saharan Africa into the world's poorest region (Calderon, 2010). Even though there has been a small recovery since the end of the 1990s, and despite ever increasing amounts of aid from NGO's and from developed countries, Sub-Saharan Africa has failed to show any significant improvements in the vast amount of indicators that aim to assess levels of poverty (Clegg, 2010). Whilst there has been a decline in poverty levels in Latin America and Asia in the past forty years, Sub-Saharan Africa achieved a depressingly small improvement in this time (Economist, 2009).

Real per capita growth for Sub-Saharan Africa countries by the 1990s according to World Bank was recorded at its lowest, 0.5%, and since the 1980s, the functioning of some of the African governments were running only by external aid. By 1990 for example, per capita aid for Mozambique was estimated at 60% and that of Uganda at 70% (Alan Fowler, 2009). While introducing a book entitled, *Development, NGOs and civil society*, Penny Pearce quotes the 1997 UNDP Report that paints a grim image of poverty in developing countries. "Between 1987 and 1993, the number of people with income less than 1 US \$ a day increased by 100 Million to 1.3 billion people, one third of the population in the developing world. He further goes on to add that, during the period 1989 and 1996, the number of billionaires increased from 152 to 447 and the value of their combined assets exceeded the combined income of half of the poorest of the world's poor".

A study by Rigby (2007) revealed that one of the most common constraint on sustainability encountered in field operations in Philippines and Vietnam reveal that they did not conduct risk analyses prior to project design, and lack of concrete risk management strategies. Also inadequate consideration of contextual issues, such as a lack of infrastructure or financial

services has led to the development of market-driven project designs which might not be sustainable.

A study conducted by Adebayo (2007) revealed that NGOs in Nigeria are expressing difficulty in finding sufficient, appropriate and continuous funding for their work. They find accessing donors as challenging as dealing with their funding conditions. They perceive there to be certain cartels of individuals and NGOs that control access to donor funds. They have limited resource mobilization skills and are often not looking for funds that are available locally, preferring to wait for international donors to approach them. There is a high dependency of donors and a tendency to shift interventions to match donor priorities. There is a lack of financial, project and organizational sustainability.

Similarly Foxand (2006) on sustainability of projects in rural areas of Limpopo Province in South Africa found out that projects can't be implemented and sustained without active community participation; such projects will collapse leaving the communities trapped in abject poverty. Also, a study by Korten (2010), noted that, lack of education and skills to run the projects is likely to affect the participants in projects negatively as they will make mistakes and blunders which may hamper the sustainability of the projects.

In Kenya, a dramatic build up in nominal aid flows was experienced in the 1980s, according to OECD-DAC statistics. There was a slackening of donor support in the 1990s but the nominal aid flows increased from US\$ 393.4 million in 1980 to an average peak of US\$1120.5 million in 1989-90, before declining to a low of US\$ 308.85 million in 1999. There was some recovery thereafter in response to a new government in December 2002 such that the net ODA to Kenya accounted for US \$943 million in 2006, ranking it 23rd among 150 aid recipient developing countries.

The 2006 Kenya Integrated Household and Budget Survey, (KIHBS) found that 46% of the total Kenyan population is absolutely poor, i.e. below the poverty line, whereas 49% of the rural population is absolutely poor (Kenya National Bureau of Statistics, 2007). Thus, the continued poverty, growing conflicts and the states reneging on its social responsibilities,

create an arena that development NGOs existence have been valuable and that Africa's decline contributes to the continued justification of their work.

As shown by different studies, sustainability of community based projects is influenced by a variety of factors. Community participation, project financing, project management practices and community training do influence sustainability of community water projects (Ochelle, 2012). Mulwa (2013) points out that project planning and implementation, community management, cooperation of stakeholders and financial management influence sustainability of NGOs projects (Mulwa, 2013). The study by Odhiambo (2010) found out that community participation, organizational setting, operating policies and community capacity building in projects are fundamental factors which enhances project ownership, empowerment and sustainability of the projects (Odhiambo, 2010). It is with this background that the study assessed the factor influencing sustainability of donor funded projects by local NGOs.

### **1.1.1 Sustainability of WASH Projects**

Long-term sustainability of WASH interventions is widely recognized as a complex and persistent challenge facing communities, governments and international development partners alike (Serageldin, 1996). According to UNICEF, almost fifty per cent of the developing world's population of about 2.5 billion people lack improved sanitation facilities, and over 884 million people still use unsafe drinking water sources. Inadequate access to safe water and sanitation services, coupled with poor hygiene practices, kills and sickens thousands of children every day, and leads to impoverishment and diminished opportunities for thousands more. Poor sanitation, water and hygiene have many other serious repercussions. The provision of adequate sanitation services is equally important. Proper disposal of all waste as well as control of the carriers of communicable diseases, including mosquitoes, rats, mice and flies, is crucial to mitigate health risks and prevent epidemics (Niyi, 2008).

The optimum benefit from water and sanitation interventions can only be achieved if communities and individuals are made aware of the links between hygiene practices, poor sanitation, polluted water sources and disease. UNHCR estimates that more than half the refugee camps in the world are not able to provide the recommended minimum daily water



requirement of 20 litres per person; while some 30 percent of camps do not have adequate waste disposal and latrine facilities (Natasha, 2003).

Special efforts have been made in recent years to address critical gaps in the provision of water and sanitation services. UNHCR has also taken significant measures to lessen the social impact of inadequate water supplies, including the effect on children who miss school while collecting water and the risks to women who must travel far to reach a water outlet (Kim, 2005).

### **1.1.2 Sustainable Development and Peace Building Initiatives (SYPD)**

SYPD is a non-profit organization and which in this case is our area of study. SYPD is a pioneer in emergency response and provision of humanitarian relief to communities in Africa affected by manmade and natural disasters. The organisations peace building, development and emergency relief work is funded by generous contributions from multilateral organizations and agencies. These include DRC, UNICEF, UNDP, UNOCHA. The organisation strives to promote peace in Somalia, Kenya and other neighboring countries through sustainable development programs that enable communities to have permanent access to basic human needs, and by addressing the root causes that drive conflict in the region.

## **1.2 Statement of the Problem**

Donors usually have the objective of helping to improve the livelihood of the locals either through direct participation or providing funding to supplement government's budgetary allocation to the various sectors. Unfortunately, the funds provided by most of these donors are project-driven short-term funds, which do not factor into the whole funding mechanism policies that will ensure that such projects become sustainable after donor funds have been withdrawn (Heeks, 1998).

The presence of a well thought out strategy that not only looks at how a donor funded project is completed, but also the means to continue with the project after donor funds have been withdrawn is critical to the project's sustainability (Young and Hampshire, 2000). Question of effectiveness or efficiency of implementation of donor funded project remains a

significant policy and management concern to be investigated. Mulwa (2013) identified some of factors that might influence the sustainability of the projects. These included financial systems, technology adoption, stakeholders and target groups involvement and participation, donor policies and management structures.

Research has shown that projects implementation in sub-Saharan Africa; often demonstrate low levels of sustainability (Gebrehiwot, 2006). The key causes for this include inappropriate policy or legislation; insufficient institutional support; unsustainable financing mechanisms; ineffective management systems; and lack of technical backstopping (Niyi, 2007). Evaluation studies done by Agevi (2002), Muttagi (1998), Ashley and Barney (1999) and Cedric (1992) widely linked poor management of community projects to the increase in the cycle of poverty and failure of many donor funded projects in developing countries.

Despite this problem, little has been done on projects sustainability in Kenya. This poses a gap which this study sought to fill through an investigation of the factors influencing sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya (SYPD)

### **1.3 Purpose of the Study**

The purpose of this study was to determine factors influencing sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya.

### **1.4 Objectives of the Study**

This study was guided by the following specific objectives;

- i. To determine the extent to which community participation influence sustainability of water sanitation and health projects.
- ii. To examine how technical expertise influence sustainability of water sanitation and health projects.
- iii. To establish the extent to which funds utilization influence sustainability of water sanitation and health projects.

- iv. To assess the effects of political factors on sustainability of water sanitation and health projects.

### **1.5 Research Questions**

The study sought to answer the following research questions;

- i. To what extent does the community participation influence sustainability of water sanitation and health projects?
- ii. To what extent does the funds utilization influence sustainability of water sanitation and health projects?
- iii. How does the technical expertise influence sustainability of water sanitation and health projects?
- iv. To what extent do political factors influence sustainability of water sanitation and health projects?

### **1.6 Significance of the Study**

Significantly, the study will help the Government in informing development practitioners on areas of collaboration among stakeholders in the development discourse. These forestall duplication of interventions in communities among NGOs and government agencies to offer an opportunity to bring about equity and meaningfully social and economic development of beneficiaries within the study area.

The study will also serve as a guide to donors and NGOs to design and implement sustainable development interventions in the area under study to improve on the life and livelihood of beneficiary communities. Further findings of the study will help donors to determine which areas of intervention need to be emphasized to bring about the necessary growth and development which is the main aim of Official Development Assistance (ODA).

The study will help researchers to gain problem solving skills as well as the skills of academic report writing. In addition, the result of the study will be important to the practitioners and academicians both in the private and public sector by contributing to the existing body of knowledge in the area of project sustainability. Researchers will use findings for further research as a secondary source of information.

### **1.7 Delimitation of the Study**

This study focused on factors influencing sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya. SYPD has been listed as one of the best performing NGOs in Kenya by United Nations. The NGO also carries many humanitarian projects in Somalia and the Northern Kenya region. The SYDP head offices are based in Kenya and this eased data collection in this study. The study was therefore delimited to projects sustainability to have a deeper understanding on the major sustainability challenges that NGO are facing and understand what needs to be emphasized to improve on the living standards of their beneficiaries.

This study was delimited in terms of population to members of staff at SYPD in Kenya. Beneficiaries of these projects at Fafi Constituency, Garissa County Kenya were also included since they have a direct attachment to these projects.

### **1.8 Limitation of the Study**

This study was conducted at Fafi Constituency, Garissa County Kenya. The research instrument may give varying data depending on the individuals used against. To overcome this limitation, a pilot study was done to ensure that the questions in the instruments are relevant, clearly understandable and make sense. Both a questionnaire and an interview guide were used whereby the questions to be addressed by the respondents were user friendly.

The interview guide for the beneficiaries was also translated into the local language Somali. It was also difficult to organize Focus Group Discussions (FDGs). The researcher communicated with the management of SYPD earlier so that adequate time was given to the employees to fill the questionnaires at ease. Notwithstanding these limitations, the research was conducted to guarantee the internal validity of the findings made.

The respondents approached were reluctant in giving information fearing that the information sought was used to intimidate them or print a negative image about the SYPD. The researcher handled the problem by carrying with him an introduction letter from the institute

and assured them that the information they gave was treated confidentially and was purely used for academic purposes.

The researcher also encountered a problem in eliciting information from the respondents as the information required was subject to areas of feelings, emotions, attitudes and perceptions, which cannot be accurately quantified and/or verified objectively. The researcher encouraged the respondents to participate without holding back the information they might be having as the research instruments did not bear their names.

Lack of sufficient funds and time may limit the researcher from accessing all the beneficiaries in the County to collect data for study. The researcher however limited himself to one constituency due to inadequacy of funds and short timelines.

### **1.9 Assumptions of the Study**

The study was based on the assumptions that the respondents would be available and cooperative.

These respondents were objective and competent in responding to the items in the questionnaires correctly. The response given by respondents was correct.

### **1.10 Operational Definition of Terms**

**Funds utilization:** This is the efficient and effective management of money, equipment or facilities for the sole purpose of furthering organizational goals and objectives.

**Community participation:** Community participation implies the involvement of a significant number of persons in situations or actions that enhance their well-being, for example, their income, security, self-esteem or projects that are being undertaken by third parties.

**Political factors:** Political factors, in the context of the external environment in which organisation functions, are a type of external constraint acting upon an organisations and are related to actions of

governments and political conditions in the location where the business conducts business or seeks to conduct business.

**Sustainability of donor funded projects:** The continuing ability of a project which has received funding from a donor to meet the needs of its community and embraces the concept of doing this beyond the time of donor agency involvement.

**Technical expertise:** Technical expertise refers to a series of underlying knowledge and skills that are necessary for one to undertake a given task with acceptable quality.

### **1.11 Organization of the Study**

Chapter one comprised of the background of the study, statement of the problem, purpose of the study, objectives, research questions, and significance of the study, basic assumptions, limitations and definition of significant terms used in the study. Chapter Two covered the introduction and the body of the study where specific themes were discussed, theoretical framework, related empirical literature as well as the conceptual framework. Chapter Three contained the following: research design, target population, sampling procedure, research instruments, validity and reliability of the instruments and data analysis. In Chapter Four, the areas of focus were: data analysis and interpretation and presentation while Chapter Five presented the study summary, conclusions, recommendations and areas for further studies.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.1 Introduction**

This chapter dealt with the review of the relevant literature with specific reference to literature on the water sanitation and health project sustainability. The process of literature review involves the review of literature from academic sources such as books, journals, electronic library, national policy papers, past research studies and other sustainability strategies scholarly works published. This chapter also focused on conceptualization in a bid to identify the nature, subject, purpose and broad content of the research problem.

#### **2.2 The Concept of Projects Sustainability**

On the concept of sustainability Eckman (2007) stated that sustainability has come to be regarded both as a goal in development programs and as an approach to policy and programming. It was further espoused that there are many definitions of sustainability in literature, as well as in empirical use among development workers because; the term is strongly dependent upon the context in which it is used. On this basis Brown et al. (2007) maintained that a meaningful definition must specify explicitly the context as well as the temporal and spatial scales being considered.

It was for this reason Nikkhan and Redzuan (2010) concluded that sustainable development has emerged over the past few decades as an important paradigm for community development. However, Bradshaw and Winn (2004) assert that, sustainability has been rooted largely in an environmental approach, particularly in the industrialized countries. But, the goal of sustainable development is to find a balance between three pillars social, economic and environmental aspects of communities (Sneddon, 2006).

Study done by Hibbard and Tang (2004) contended that sustainable community development is process-oriented, and it requires extensive community participation and relies on network to share resources, knowledge and expertise. The concept of sustainability in sustainable development therefore implies balancing environmental protection with the generation of increased opportunities for employment and improved livelihoods (Serageldin, 2006).

As the focus of this study is at the operational NGO project level, sustainable development projects are defined by Eckman (2007) as those with beneficial impacts enduring beyond the original time frame of the project, and that may be diffused beyond the original spatial limits of the project. Such activities acquire a life of their own, and are independently adopted or adapted by local people without significant inputs from external sources as the official project ends.

On development initiative, Hossain (2001) opines that initiative is considered sustainable when it is economically and financially able to maintain growth, capital maintenance, and efficient use of resources and investments. Such a program should be able to deliver appropriate level of benefits for an extended period after the exit of development assistance. From these definitions, it is realized that there is now a reorientation of sustainability as primarily an ecological concern to one that emphasizes the economic, social and political aspects of development.

### **2.3 Community Participation and Projects Sustainability**

On the role played by the stakeholders, Pomeroy and Carlos (1997) noted that one of the critical factors in promoting sustainability of any project is the role played by the stakeholders and target groups and their participation in the project activities. Stakeholders and target groups are those directly concerned with the program or project, especially the Partner Government and the implementing agency, and those who stand to benefit.

Sustainability cannot be achieved without their involvement and support. Stakeholders, both men and women, should actively participate which means having the opportunity to influence the direction and detail of design and implementation. Allocating adequate time and resources for participatory analysis and responding to demand-led approaches are important ways to improve participation.

On stakeholder's ownership, Pollnac and Pomeroy (2005) stated that donor-led and top-down projects generally fail to bring sustainable benefits because they do not lead to stakeholder ownership and commitment. Genuine participation and ownership is not adequately



addressed if the main strategy consists of simply running workshops or briefings to let 'them' know what 'you' are doing.

On practical steps to achieve sustainability, Pollnac and Pomeroy (2005) outlines some practical steps to achieve more effective participation which includes: ensuring that the ideas for programs and projects are demand-led; ensuring that the design phase is thought of as an investment in a successful outcome and thus given adequate time and other resources; ensuring that the design incorporates specific activities and resources needed to implement participatory strategies; clearly defining who/which groups are expected to participate and who will benefit; clearly defining what type and level of participation is to be achieved; and ensuring that key team members are appropriately skilled in participatory approaches.

However, when programs and projects are being implemented in partnership with provincial or district agencies or communities, it is important for sustainability that donors have agreements with this level of government that documents their roles and responsibilities, and that there are appropriate channels for delivering resources and receiving feedback. This is particularly important when national level agency capacity is weak and is a bottleneck to effective communication and timely action on the ground (Asamoah, 2003).

On financial sustainability of NGOs projects in Nairobi, Rono (2008) revealed that dependence on donor funding was high with low utilization of internal resources, with use of the services offered to provide a decent return lacking. Khan and Hare (2005) pointed out that for an NGO funded project to be sustainable it has to develop a sound institutional base, a strong programmatic approach, and sufficient funds. At the institutional level, the NGO needs to establish the internal systems, structure, and work culture that promote strong leadership and positive organizational image, foster the belief that people are willing to support products and services they find valuable, and facilitate the development plans for sustainability (Bradshaw, 2004).

At the program level, the NGO needs to carefully analyze the market and encourage community participation at all stages from design through implementation to evaluation of the program in order to offer quality service at reasonable prices (Brown, 2007). At the

financial level, the NGO needs to have systems and strategies for generating adequate levels of finance and managing these resources well. It requires a good grasp of the nature and level of its costs and preparedness to sustain its programs through a combination of cost reduction, cost recovery, and leveraging support from the community and donors (Dorothy, 2007).

For the NGO to be financially sustainable, it must have financial systems and procedures that provide clear and timely accounts of the financial position of the organization, reduce the costs of providing services, recover costs of service provision from clients and community, raise resources through institutional earnings and use assets to attract and leverage resources from the community, the government, and divers donors (Hibbard & Tang, 2004).

This study aimed at generating an understanding of, and support for, a program or project's objectives among a wide group of stakeholders which is a major component of any sustainability strategy. Such awareness needs to start early in the design phase. During implementation it can include the use of many types of different media and group events. Workshops, seminars, newsletters, personal contacts/lobbying, community meetings and the use of electronic media e.g. radio, TV and web-sites. These can play a role in mobilizing political, administrative and community support. Establishing more formal institutional linkages with various agencies can also form part of an effective sustainability Strategy

#### **2.4 Funds utilization and Projects Sustainability**

The sources and composition of project finance is another key factor that may influence the success of project implementation. Analysis on a number of researches has shown that sources of finance have a positive influence on projects. Kasoo (2010) reiterated in his findings that besides community participation, sources and composition of project finance has a bearing on project success as well. This was confirmed by Ayodele (2011) that one major cause of abandonment of construction projects in Nigeria was due to inadequate funding and finance.

His study report further emphasizes the importance of financial resources in project implementation. The study is in consonance with Yang and Jackson's affirmation on the

stalled pumped-hydro energy storage in the United States that financial uncertainties was the project's limiting factor (Yang & Jackson, 2011).

On financial management, Nturibi (2004) states that for a development project to be financially sustainable, it requires a sound financial base arising from reliable sources of funding, financial systems to facilitate accountability and cash flow projections and development of marketable products to generate excess income over the expenditure of the project.

For a project to move towards sustainable approaches to service delivery new models and prototypes need to be developed, tested, accepted and implemented. Aid therefore should be part of the process of change and donors should ensure that their assistance is not delaying progress towards sustainability but actually supporting it. Financial and economic analysis is crucial for any sustainable project. If a program or project does not deliver clear and equitable financial or economic benefits, which are apparent to the stakeholders, it is most unlikely to be sustained after donor funding finishes (Niyi, 2008). For example, health service users will not pay for government health services if the service is poor or their expectations of benefits are extremely limited. Benefits are not sustainable if the net benefit arising is negative or very small when all the costs are considered. Better financial analysis is often required, particularly in the formulation of programs and projects' activities (Ochelle, 2012).

Donor funding policies often focus on new capital investments to the exclusion of supporting operation and maintenance budgets. This can have adverse effects on sustainability, particularly in economies undergoing severe internal budget deficit problems (Serageldin, 1996). New capital projects require additional operation and maintenance funds that have to be drawn from the same limited pool of funds that finance other ongoing programs. As a consequence, either the new investment is not maintained or existing infrastructure or services suffer funding cuts (Sneddon, 2006).

A longer-term and more transitional approach to operation and maintenance cost funding is required, based on a rigorous and realistic assessment of the local capacity to meet these

costs. The project managements need to consider whether or not some assets should be maintained or replaced i.e. computers which rapidly become obsolete and whether project-specific depreciation funds should be set up. This would help a great deal in cost maintenance and this would ensure the project become sustainable in the long run (Yang, 2011). Level of sustainability of income generating activities often depends on perceived and actual returns to the beneficiaries i.e. orphans, grandparents giving care, project implementers community health workers and committee members (Nturibi, 2004).

He established that although the proceeds are primarily meant to assist the first group, all the others also expect to benefit. Unfortunately the magnitude of the projects initiated mostly does not allow for this, due to the fact that the products are sold in fairly poor neighbourhoods. Kotler (2006) defined product as anything that can be offered to satisfy a need or want. A product can consist of as many as three components; physical good(s), service(s) and idea(s).

On financial sustainability, the Asian Development Bank (ADB, 2004) gave three aspects of financial sustainability. These are the availability of adequate funds to finance project expenditures, especially funds drawn from the government budget, the recovery of some of the project costs from the project beneficiaries, and the financial incentive necessary to ensure participation in the project. Consequently, a financial plan at constant financial prices is necessary to ensure there will be adequate funds to finance project expenditures. This applies to the implementation period to ensure capital funds are available to cover investment and working capital requirements, and to the operating period to ensure sufficient funds to cover operating expenditures. For indirectly productive projects that do not generate sufficient funds to cover operating expenditures, the full fiscal impact of the project for each year of its life should be calculated (Sneddon, 2006).

Foundations and NGOs are increasingly recognizing that earned income from the sale of products, services, or intellectual property can be an additional source of operational funding that complements other fundraising tactics while helping to build organizational sustainability. According to Amott, (2003) foundations that receive funds from a single

donor, especially when they're not in the form of an endowment, can leave a foundation highly vulnerable. Having discretionary funds from earned income allows a foundation to invest in programs for which it is otherwise difficult to raise donor funds. These may be activities that potential donors perceive to be higher risk. Moreover, simply earning income does not guarantee financial sustainability for an organization. It is perhaps not surprising then that few foundations around the world have taken significant advantage of market approaches to earning income, which provides an excellent overview of the considerations involved in practicing earned income as a fundraising strategy (Schneider and Gilson 1997).

International donors can support capacity building by allocating part of their resources to institutional development of the foundations they're seeking to support or channel funds through. Natasha (2003) makes a plea for this in Indonesia, arguing that donors need to "support the building of both management and delivery capacities of civil society organizations, but in a judicious and targeted manner". The result of this complex reality is that emerging and existing indigenous foundations in developing countries will have to continue exploring new paths to building financial sustainability (Schneider, 2007).

This study aimed at developing a longer-term and more transitional approach to operation and maintenance cost funding is required, based on a rigorous and realistic assessment of the local capacity to meet these costs. The project managements need to consider whether or not some assets should be maintained or replaced, and whether project-specific depreciation funds should be set up. This would help a great deal in cost maintenance and this would ensure the project become sustainable in the long run.

## **2.5 Technical Expertise and Projects Sustainability**

Appropriate technical expertise is crucial to the success of any project. To promote sustainability the knowledge to be transferred must be selected on the basis of its appropriateness in terms of technical and financial criteria, plus social, gender and cultural acceptability (Natasha, 2003). Training to support the introduction of new knowledge is usually an essential component of a sustainability strategy. Training must be relevant and appropriate, and the continuity of the training itself including refresher and follow-up

training must also be considered. In many cases, one-off externally funded training activities will be inadequate (Kim, 2005).

Expatriate technical assistance is a common input of the aid programs and projects; how expatriate technical assistance work with their counterparts and colleagues can have a major influence on the prospects for sustainability (Heeks, 1998). Their departure should not presage any significant weakening of key program and project supported benefits. Practical strategies to avoid weakening include: locating counterpart and expatriate team members in the same office; emphasizing teamwork approaches; having specific sustainability strategies in place, including a phase-out strategy, well before the completion of donor funded assistance; clearly defining advisory and executive roles; limiting the number of expatriates to the necessary minimum; ensuring that short-term technical assistance is not conducted on a hit and run basis; if possible, identifying multiple counterparts per expatriate rather than only one or two; and working with counterparts who are in existing line positions rather than in newly created project positions (Gebrehiwot, 2006).

Claims of incompetence have also been levelled at NGOs (Bendell, 2006). For example, a commissioned report by UNICEF claimed that health services provided by NGOs in Mozambique were ten times the cost of those provided by the government (Clark, 2003) as cited in Bendell (2006). Incompetence is also attributed to corruption of NGOs officials.

This study aimed at building on and actively supporting the existing local capacity to deliver training, provided by either public or private sector agencies, which is a major part of a sustainable strategy.

## **2.6 Political Factors and Projects Sustainability**

From literature it is possible to identify a growing involvement by grass roots organisations (GROs) in representation, lobbying and formal party politics; and by NGOs in mediation, advocacy, training and “civic education” (Fowler, 1991) as cited in Edwards and Hulme (2008). According to Kim (2005), NGOs encourage social change and can protect individual rights by monitoring, by criticizing government and market power, and by influencing social or market policies, by doing this they promote democracy..

Despite the successes in democratization in some parts of the world by NGOs, some commentators remain skeptical about the prospects for GROs and NGOs involvement in the formal process of democratization (Edwards, 2008). Edwards (2008) debate that NGOs are unlikely to have a significant impact on political reform, partly because African governments have become adept at containing such possibility through regulation and fragmentation of the NGO “movement,” and partly because NGOs themselves have failed to develop effective strategies to promote democratization. Some NGOs leaders are politically motivated and active thus creating conflicts between them and the state. These disappointments reflect the paradox of organisation promoting democratization which themselves are only weakly democratic (Chofi, 2010).

The government-to-government nature of bilateral aid programs requires that high-level national aid coordination mechanisms be put in place (Kasoo, 2010). However, when programs and projects are being implemented in partnership with provincial or district agencies or communities, it is important for sustainability that donors have agreements with this level of government that documents their roles and responsibilities, and that there are appropriate channels for delivering resources and receiving feedback. This is particularly important when national level agency capacity is weak and is a bottleneck to effective communication and timely action on the ground (Natasha, 2003).

This study aims to highlight why donors and NGOs needs to have agreements with this level of government that documents their roles and responsibilities, and that there are appropriate channels for delivering resources and receiving feedback. This is particularly important when national level agency capacity is weak and is a bottleneck to effective communication and timely action on the ground.

## **2.7 Theoretical Framework**

This study was informed by the Stakeholder Theory as suggested by Miles and Friedman (2006), who illustrated it through two principles, the organisation legitimacy and stakeholder fiduciary principles. The principle of organisation legitimacy which argued for the management of the organisation by considering the benefit of the stakeholders, the rights of

various groups are considered as well as their participation in decisions that substantially affect their welfare. On the other hand, the stakeholder fiduciary principal proposed that of manager were to act in the interests of the stakeholders as well as the corporate while safeguarding the long-term stakes of each party. Jensen (2002) considers the linkage of objective function and stakeholder theory as enlightened value maximization: implying that whenever managers make trade-offs, they consider how the value gets created.

This study was also be guided by the legitimacy theory. Legitimacy theory is value system centred (Woodward, 1995). A dichotomy exists between the value system of organisations and those of the society. Legitimacy exists at the organisational level when there is congruence between organisation and society value system. Legitimacy refers to perceptions by key stakeholders that the existence, activities and impacts of NGOs are justifiable and appropriate in terms of central social values and institutions.

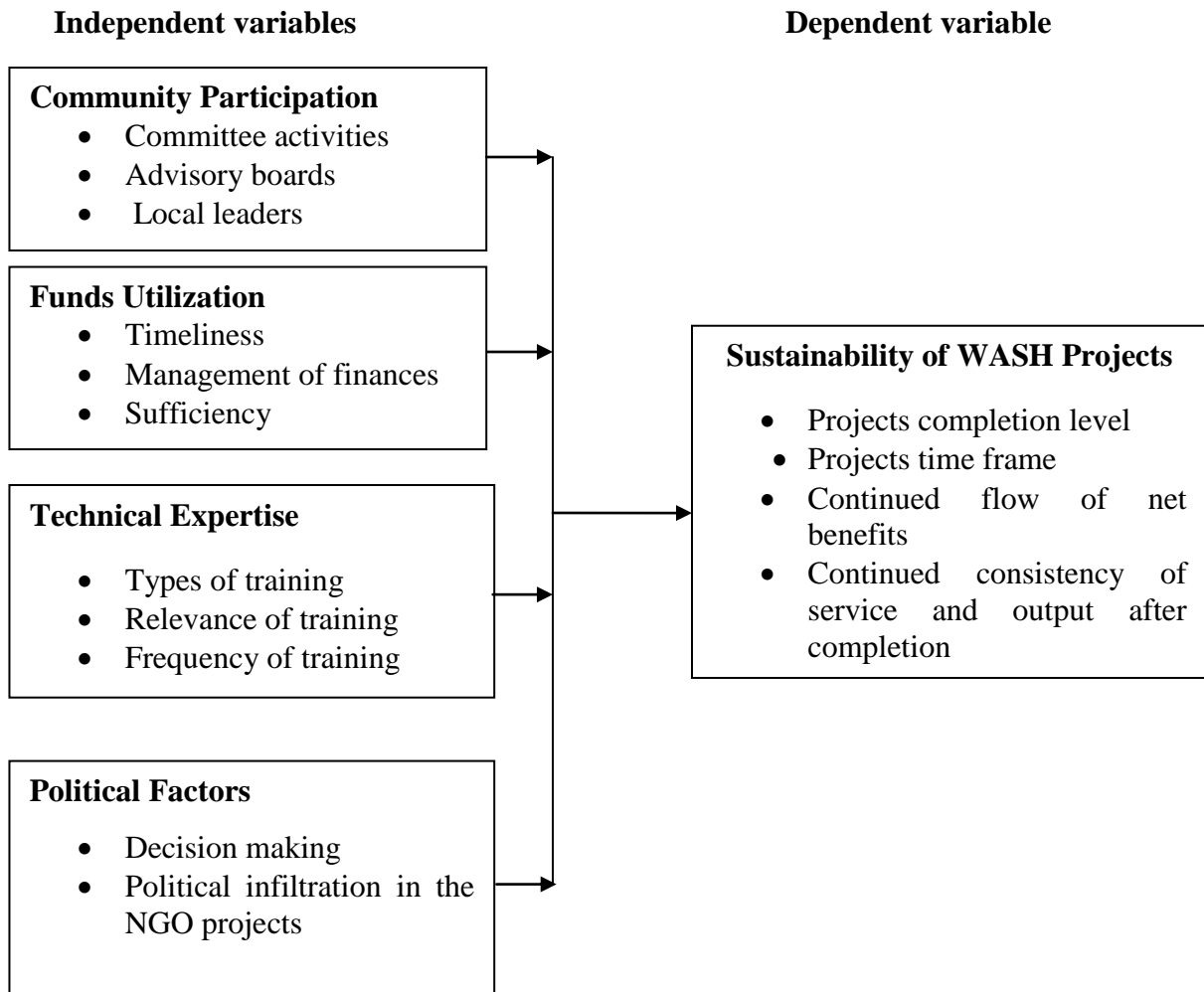
Legitimacy is grounded in the perceptions of stakeholders in the larger environment in which the organization is embedded (Brown, 2007). It is about an organization fulfilling its social contract with the society. Legitimacy is the right to be and do something in society- a sense that an organization is lawful, admissible, and justified in its chosen course of action (Edwards, 2000).

From the above theories, it can be deduced that sustainability of projects in organizations, can only be achieved by the way management sticks to the principles of management. In other words, effectiveness will always depend on the extent of organization, staffing and budgeting. These are the elements that are the core in the investigation under this study.



## 2.8 Conceptual Framework

The conceptual model is a conceptualization in functional form of how the independent variables affect the dependent variable which is sustainability of water sanitation and health projects as shown in figure 2.1.



**Figure 1: Conceptual Framework**

The above conceptual framework shows the relationship between the dependent and the independent variables used in this study. Sustainability of water sanitation and health is the dependent variable which is influenced by a set of independent variables which includes: community participation, fund utilization, technical expertise and the political factors. Each of the variables has a set of measurable parameters which is shown in the schematic representation above.

**Table 2.1: Summary of Literature Review Matrix**

<b>Variable</b>	<b>Researchers and year</b>	<b>Title of the study</b>	<b>Findings</b>	<b>Research gap</b>
<b>Community participation</b>	Pomeroy and Carlos (1997)	A review and evaluation of programmes and projects sustainability	Sustainability cannot be achieved without community involvement and support	I agree that this thesis has addressed its problem comprehensively but it has not shown what other scholars have done. In other parts of the world.
	Khan and Hare (2005)	Sustainable reproductive and child health service	For a project to be sustainable it needs to develop a strong institutional base and sufficient funds	The research never addressed the sustainability challenges in detail.
	Hibbard and Tang (2004)	Sustainable community development	Allocating adequate time and resources for participatory analysis are important ways to improve participation.	I agree with the statement of the problem but the gap at the end should be brought out clearly.
<b>Political factors</b>	Kim, D. (2005)	Community organisations and rural development	The government-to-government bilateral aid requires that high-level national aid coordination mechanisms	Failed to give statistical evidence from global level, regional and finally local. Statistics provided failed to show the effects of sustainability. Statement was vague and failed to address the study variables.
	Edwards and Hulme (2008)	International cooperation in the 21 <sup>st</sup> Century	NGOs in Africa have failed to develop strategies to promote democratisation	Use of multiple regression analysis does not match the sampling technique used
	Kasoo, J. (2010)	International NGOs and Sustainable Agriculture	It is important that donors have agreements with government that	The research concentrated on agricultural projects only

		development	documents their roles and responsibilities	
	Natasha, A. (2003)	The quest for financial sustainability in South East Asia	Retrogressive politics have derailed development by NGOs in developing economies	Study conducted in more developed countries
<b>Funds Availability</b>	Ayodele (2011)	Conceptual framework on self-reliance in community development in Nigeria	Major cause of abandonment of construction projects in Nigeria was due to inadequate funding and finance.	Sample restricted to only one state in Nigeria. No cross sectional analysis
	Yang & Jackson, (2011)	Promoting practical sustainability	Financial uncertainties was the project's limiting factor	Focused on large projects financed by the IMF and USAID
	Nturibi (2004)	A case study of the integrated community care and support project in Kenya	For development project to be financially sustainable, it requires a sound financial base arising from reliable sources of funding and accountability	Only addressed one variable ( project financing)
	Niyi and Felix (2008)	Assessment of rural water supply management at Oyo state, Nigeria	Better financial analysis is often required, particularly in the formulation of programs and projects' activities	The findings were only reflecting the challenges of water projects alone
	Schneider, H and Gilson, L. (2007)	Managing external resources in the health sector in South Africa	Internal funds embezzlement can leave an organisation in deep financial gaps.	The statement of the problem is extremely long. The statement should be precise and concise. -The statement can be rated above average.
<b>Technical expertise</b>	Heeks, R. (1998)	A case study of third world development projects developed and implemented by nongovernmental organisations	Expatriate technical assistance can have a major influence on the prospects for sustainability	Study never explored a variety of projects. The case study adopted was not adequate.

Gebrehiwot, (2006)	An assessment of challenges of sustainable rural water supply and local development in Ethiopia	To promote sustainability the knowledge to be transferred must be selected on the basis of its appropriateness	Findings based on water projects only
Bendell, (2006)	Faith-Based Organizations in Community Development	Incompetence have also been one of the major factor demeaning sustainability	Only capitalized on the faith based NGOs
Clark (2003)	Infrastructure and economic development in Sub-Saharan Africa	Emphasized knowledge creation process	The research never addressed the problem from the donor financing perspective

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.1 Introduction**

This chapter sets out various stages and phases that were followed in completing the study. The following subsections were included; research design, target population, sampling design, data collection instruments, data collection procedures and finally data analysis.

#### **3.2 Research Design**

This study adopted a descriptive survey research design. According to Orodho (2003) descriptive survey design is suitable because it is used to obtain information that describes existing phenomena by asking individuals about their perceptions, attitudes, behaviours or values. It can also be used for explaining or exploring the existing status of two or more variables.

Kothari, (2006) describes descriptive research as including survey and facts finding enquiries adding that the major purpose of descriptive research is description of affairs as it exists at present. Descriptive survey research design may be used for the purpose of developing theory, identifying problems with current practice, justifying current practice, making judgments' or determining what others in similar situations are doing (Sekaran, 2008). The study hence considered a descriptive survey research design suitable since data was gathered from the various water sanitation and health projects being undertaken by SYPD.

#### **3.3 Target Population**

This study targeted both the SYPD staff and the beneficiaries at Fafi Constituency, Garissa County Kenya. The targeted projects in this study included shelter, water health and sanitation. The study examined a population of 32 staff working at SYPD and 100 household who are the beneficiaries of SYPD services at Fafi Constituency. In total the target population were 132 respondents. The population characteristics are summarized in table 3.1.

**Table 3.2: Target Population**

<b>Targeted population</b>	<b>Population</b>	<b>Percentage</b>
National Director	1	0.76
Programme Associate	1	0.76
Finance Administrator	1	0.76
Programme Officers	29	21.97
Beneficiaries (Households)	100	75.76
<b>Beneficiaries</b>	<b>132</b>	<b>100%</b>

**Source: SYPD Association HR Manual, 2014**

### **3.4 Sample Size and Sampling Procedure**

Sampling was done to some elements of a population so that conclusions about the entire population can be drawn. The ultimate test of a sample design is how well it represents the characteristics of the population it purposes to (Thorn hill, 2009).

#### **3.4.1 Sample Size**

A sample of respondents was drawn from all the staff working at SYPD in Kenya. The sample size for the study is 112 respondents drawn from a target population of 132 drawn from the Krejcie and Morgan table of (1970)

#### **3.4.2 Sampling Procedure**

The sampling plan describes the sampling unit, sampling frame, sampling procedures and the sample size for the study. According to Cooper and Schindler (2003) a representative sample is one which is at least 10% of the population. Stratified random sampling technique is used when population of interest is not homogeneous and can be subdivided into groups or strata to obtain a representative sample.

**Table 3.3: Sample Population**

<b>Targeted population</b>	<b>Population</b>	<b>Sample Size</b>	<b>Sample Percentage</b>
National Director	1	1	0.89
Programme Associate	1	1	0.89
Finance Administrator	1	1	0.89
Programme Officers	29	29	25.89
Beneficiaries (Households)	100	80	71.44
<b>Total</b>	<b>132</b>	<b>112</b>	<b>100</b>

**Source: Field Data, 2015**

The study sample of 32 respondents as calculated above in proportions that each group bears to the population as a whole. From the Krejcie & Morgan sample table (appendix vi) a sample 80 households was picked for this study. From each household a single individual was considered for this research and was deemed a representative of the household. In total 112 respondents were considered in this study for the data collection. The beneficiaries were picked randomly while the SYPD staffs were picked from the list given from the human resource department of the organisation.

### **3.5 Research Instruments**

With respect to project sustainability, this study utilized a questionnaire and an interview guide to collect primary data as used in various previous research projects. The questionnaire designed in this study comprised of two sections. The first part included the demographic and operational characteristics designed to determine fundamental issues including the demographic characteristics of the respondent. The second part was devoted to the identification of the factors influencing projects sustainability the four variables of the study were put into focus.

The questionnaire was designed to include both structured and unstructured questions. The structured questions were used in an effort to conserve time and money as well as to facilitate an easier analysis as they were in immediate usable form; while the unstructured questions were used so as to encourage the respondent to give an in-depth and felt response without feeling held back in revealing of any information.

The study used an interview guide in this study. This helped the respondents in directing the conversation toward the topics and issues the researcher wants to investigate. This helped in the in-depth analysis of the sustainability of projects.

Observation was also used in this study. Observation is basically to see physical impact under investigation of the topic in question. This method was used by the researcher for data collection. Careful observations were made on the projects implemented in the area of the study. This method was used to eliminate the biases that might have been recorded from questionnaires.

### **3.5.1 Pilot Testing**

Before the questionnaires and the interview guides are finally administered to participants, a pilot study was carried out to ensure that the questions are relevant, clearly understandable and making sense. The pilot study aimed at determining the reliability of the questionnaire including the wording, structure and sequence of the questions. The questionnaires were hand delivered and administered at the respondents' place of business to ensure objective response and reduce non-response rate. The results of the pilot study were not included in the actual study. Isaac (2005) states that a sample size of between 10 and 30 respondents for a pilot study is adequate for any study.

### **3.5.2 Validity of the Instrument**

The researcher carried out a pilot study to pre-test and validates the questionnaire. This pilot study involved 10 respondents working at Catholic Relief Services at Westlands Nairobi County which an NGO is offering humanitarian services in Kenya similar to those offered by SYPD. Content validity which was employed by this study was a measure of the degree to which data collected using a particular instrument represented a specific domain or content of a particular concept. Mugenda and Mugenda (1999) contend that the usual procedure in assessing the content validity of a measure is to use a professional or expert in a particular field.



### 3.5.3 Reliability of the Instrument

Reliability refers to the consistency of measurement and is frequently assessed using the test–retest reliability method. Reliability is increased by including many similar items on a measure, by testing a diverse sample of individuals and by using uniform testing procedures. The researcher computed a Cronchbach alpha score of the instrument used to obtain the primary data. Cronchbach alpha ranges between 0-1.Scores between 0-0.6 indicate that the instrument has a low reliability while scores of 0.7 and above indicate that the instrument has a high level of internal consistency and reliability.

**Table 3.4: Reliability Coefficients**

Scale	Cronbach's Alpha	Number of Items
Community Participation	0.834	11
Political Factors	0.767	4
Technical Expertise	0.753	6
Funds Utilization	0.820	9

Cooper and Schindler (2008) indicated 0.7 to be an acceptable reliability coefficient. Table 3.4 shows that community participation had the highest reliability ( $\alpha=0.834$ ) followed by funds utilization ( $\alpha=0.820$ ) political factors ( $\alpha=0.767$ ) and finally technical expertise ( $\alpha=0.753$ ). This illustrates that all the four scales were reliable as their reliability values exceeded the prescribed threshold of 0.7. Expert opinion was also requested to comment on the representativeness and suitability of questions and give suggestions of corrections to be made to the structure of the research instrument.

### 3.6 Data Collection Methods

This study collected both qualitative and quantitative data using a self-administered questionnaire and an interview guide. On cases where it was proved difficult for the respondents to complete the research instruments immediately, the questionnaire and the interview guide was left with the respondents and picked later. For the interview guides, the research assistants assisted in data collection from the illiterate beneficiaries.

A cover letter from the University of Nairobi was taken along to enable the administering of the research instrument. The respondents were assured of confidentiality of their names and responses and that the responses were not handled by any other person but rather to be used purely for academic purposes. Each research instrument was coded and only the researcher had the knowledge on which person responded.

### **3.7 Data Analysis Techniques**

Before processing the responses, the completed questionnaires were edited for completeness and consistency. The data was then coded to enable the responses to be grouped into various categories.

Data collected was purely quantitative and qualitative and it was analysed by descriptive analysis and content analysis. The descriptive statistical tools helped in describing the data and determining the extent used. Data analysis used SPSS and Microsoft excels to generate quantitative reports through tabulations, percentages, and measures of central tendency. Tables were used to present responses and facilitate comparison. Cooper and Schindler (2003) notes that the use of percentages is important for two reasons; first they simplify data by reducing all the numbers to range between 0 and 100. Second, they translate the data into standard form with a base of 100 for relative comparisons.

### **3.8 Ethical Considerations**

This study observed the following ethical procedures: Due to sensitivity of some information collected, the researcher held a moral obligation to treat all information provided with utmost confidentiality. Since the respondents were reluctant to disclose some information, the researcher reassured the respondents of confidentiality of the information given.

The researcher was objective during the interview; data analysis, and data interpretation to avoid or minimize bias or self- deception. Respect for intellectual property was guaranteed by giving proper acknowledgement or credit for all contributions to this study and did not engage in plagiarism.

### 3.9 Operational Definition of Variables

Objective	Variable	Indicators	Scales	Research approach	Data collection tool	Type of Analysis
To determine the extent to which community participation influence sustainability of water and sanitation projects.	Community participation	-Committee activities  -Advisory boards	Ordinal	Qualitative and quantitative	Questionnaire	Descriptive
To establish the extent to which funds utilization influence sustainability of water and sanitation projects.	Availability of funds	Timeliness  Management of finances  Duration	Ordinal	Qualitative and quantitative	Questionnaire	Descriptive
To examine how technical expertise influence sustainability of water and sanitation projects.	Technical expertise and knowledge	-Types of training  -Relevance of training  -Frequency of training	Ordinal	Qualitative and quantitative	Questionnaire	Descriptive
To assess how political factors as a moderating variable	Political influence	Decision making  Political infiltration in the NGO	Ordinal	Qualitative and quantitative	Questionnaire	Descriptive

influence the sustainability of water and sanitation projects		project				
Water and sanitation projects sustainability	Sustainability		ordinal	Qualitative and quantitative	Questionnaire and interview guide	Descriptive

## CHAPTER FOUR

### DATA ANALYSIS, PRESENTATION, INTERPRETATION AND DISCUSSIONS

#### 4.1 Introduction

This chapter presents the study findings which have been analysed based on the thematic and sub-thematic areas in line with the study objectives. The aim of the study is to determine factors influencing sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya. The study sought to determine the extent to which community participation, funds utilization and technical expertise influence the sustainability of water sanitation and health projects. These were moderated by political factors. This chapter begins with demographic information, followed by findings on the objectives of the study.

#### 4.2 Questionnaire Return Rate

The study had a sample size of 32 staff working at SYPD in Kenya in the levels of National Director, Programme Associate, Finance Administrator and Programme Officers. The study also conducted interview on 80 Beneficiaries Fafi Constituency, Garissa County Kenya.

**Table 4.5: Response Rate**

<b>Respondents</b>	<b>Questionnaires Duly Returned</b>	<b>Questionnaires Not Returned</b>	<b>Response Rate</b>
Staff	30	2	93.75
Beneficiaries	60	20	75%
<b>Total</b>	<b>90</b>	<b>22</b>	<b>80.35%</b>

Out of 32 respondents, 30 responses were obtained giving a response rate of 93.75%. The study did not achieve a 100% response rate as some of the questionnaires were half way filled by the respondents. From the 80 respondents targeted, 60 filled the interview guide while some were assisted in this data collection process. This gave a response rate of 75%. The response rate constitutes 80.35%. According to Kothari (2004) any response of 50% and above is adequate for analysis. Given that the response rate was adequate for the study, the researcher can go ahead with the study.

### 4.3 Demographic Characteristics of the Respondents

The study was interested in knowing the characteristics of the respondents in terms of gender, respondents position, age, experience, academic qualification, long term vision and goals, availability of strategies , project promotion and marketing plan and finally on the major sources of income. The results were as shown in table 4.6.

**Table 4.6: Demographic Characteristics of the Respondents**

<b>Gender</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Male	18	60%
Female	12	40%
<b>Total</b>	<b>30</b>	<b>100</b>
<b>Position</b>		
Project manager	14	47%
System administrator	9	30%
Project officer	7	23%
<b>Total</b>	<b>30</b>	<b>100</b>
<b>Age Bracket</b>		
20-29 years	9	30%
30-39 years	12	40%
40-49 years	6	20%
Above 50 years	3	10%
<b>Total</b>	<b>30</b>	<b>100</b>
<b>Work Experience</b>		
Above 5 years	1	3%
Between 1-3 years	8	27%
Between 3-5 years	15	50%
Between 6 months- 1 year	6	20%
<b>Total</b>	<b>30</b>	<b>100</b>
<b>Highest Academic Qualification</b>		
Undergraduate	13	50%
Post graduate	5	20%
Diploma	7	30%
<b>Total</b>	<b>30</b>	<b>100</b>
<b>Long Term Goals Responses</b>		
Yes	30	100%
No	0	0%
<b>Total</b>	<b>30</b>	<b>100</b>
<b>Availability of Strategies Responses</b>		
Yes	24	80%
No	6	20%

<b>Total</b>	<b>30</b>	<b>100</b>
<b>Project Promotion Responses</b>		
Yes	24	80%
No	6	20%
<b>Total</b>	<b>30</b>	<b>100</b>
<b>Sources of Finances Responses</b>		
Self-sustenance	2	6%
Government funding	8	27%
NGO/CBOs funding	20	67%
Local fund raising	0	0%
Church funding	0	0%
<b>Total</b>	<b>30</b>	<b>100</b>

From the findings, 60% of the respondents were male and 40% of the respondents were female. This depicts that majority of those who took part in this study were male. This is an indication that both genders were involved in this study and thus the finding of the study would not suffer from gender biasness. This group performs the core operational function of NGOs as they are the staffs who are assigned to meet beneficiaries on a regular basis to implement project objectives. While males dominate the NGO work force, women dominated the beneficiary category.

In relation to respondents' position in the organization, 47% of the respondents indicated that they were the project managers, 30% of them indicated that they were the system administrators and 23% of the respondents indicated that they were project officers. These officers play a fundamental role in the project implementation process and would give reliable information regarding to our study area which is project sustainability.

In relation to age category, 40% of the respondents indicated that they were between 30 and 39 years old, 30% of the respondents indicated that they were aged between 20 and 29 years, 20% of the respondents indicated that they were aged between 40 and 49 years and 10% of the respondents indicated that they were above 50 years. This clearly indicates that most of the respondents were aged between 30 and 39 years.

In relation to respondents experience, 50% of the respondents that they had worked in the project between 3 years and 5 years, 27% of the respondents indicated that they had worked between 1 and 3 years, 20% of the respondents indicated that they had worked between 6 months and 1 year and finally, 3% of the respondents indicated that they had worked for the project for above 5 years. This clearly indicates that majority of the respondents had worked on the project for 3 to 5 years. This shows that most of the key staffs were experienced with the donor funded projects since they have been in these projects for more than three years.

In relation to academic qualification, 50% of the respondents indicated that they had reached undergraduate, 30% of the respondents had a diploma and 20% of the respondents had attained postgraduate. This depicts that the respondents who were involved in the study had attained good education and hence were in a position to give reliable information that would assist to make conclusion for the study.

On whether the respondents had a long-term vision and goals for the projects and its partners (100%) indicated that their projects had a long-term vision and goals. This indicates that majority of the respondents were focused on making their projects grow and succeed. This shows that most donors and the NGOs implementing the projects are committed in making sure that the projects are sustainable.

On whether the respondents had strategies at hand to help them obtain additional funding and support for the project beyond the time of the original grant, 80% of the respondents indicated that they had strategies to obtain additional funding and support for the project beyond the time of the original grant while 20% of them indicated otherwise. This study established the most donor funded projects had strategies in place to obtain additional funding and support which was geared towards establishing sound financial base for their operation. This was a step forward towards enhancing donor funded project sustainability. These findings were consistent with the study by Khan and Hare (2005) who pointed out that for a funded project to be sustainable it has to develop a sound institutional base, a strong programmatic approach, and sufficient funds.



On determining whether they have a project promotion and marketing plan for raising awareness of the project and updating and disseminating its products, 80% of the respondents indicated that they had it but 20% of the respondents were on contrary. This depicts that most of the projects were well run by the organisations and were equally lobbying for more funds to sustain the projects. These finding were however consistent with Nturibi (2004) as reviewed in the literature review. The researcher stated for a development project to be financially sustainable, it requires reliable sources of funding, financial systems to facilitate accountability and cash flow projections and development of marketable products to generate excess income over the expenditure of the project.

On determining major sources of income for their projects, 67% of the respondents indicated that their major sources income were the NGOs or CBOs funding, 27% of the respondents indicated that their major sources of funding was from the government and 6% of the respondents indicated that theirs was self-sustenance. None of the respondents indicated local fund raising and church funding. The results clearly shows that majority of the projects was funded from the NGOs or the CBOs.

**Table 4.7 Demographic Characteristics for the Beneficiaries**

<b>Gender</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Male	22	36%
Female	38	64%
<b>Total</b>	<b>60</b>	<b>100%</b>
<b>Age Bracket</b>		
20-29 years	8	13%
30-39 years	15	25%
40-49 years	30	50%
Above 50 years	7	12%
<b>Total</b>	<b>60</b>	<b>100%</b>

From the findings, 64% of the respondents were female and 36% of the respondents were male. This shows that both genders were represented in this study though not in equal proportions. The large number of female respondents can be attributed to the nomadic lifestyle in the area of the study therefore majority of men had either gone to look for pastures and water for their livestock.

In relation to age category, 50% of the respondents indicated that they were between 40 and 49 years old, 25% of the respondents indicated that they were aged between 30 and 39 years, 20% of the respondents indicated that they were aged between 40 and 49 years and 13% of the respondents indicated that they were between 20 and 29 while as only 12% indicated to be above 50 years.

#### **4.4 Community Participation and Sustainability of Water Sanitation and Health Projects**

The first objective of the study sought to determine the extent to which community participation influence sustainability of water sanitation and health projects. The area of focus was; level of involvement and participation, group involvement and participation, and level of stakeholders' involvement and participation.

##### **4.4.1 Committee Activities for Involvement and Participation**

The respondents were asked to state whether there were committee activities which enhanced sustainability of water and health projects in the study area. The results were as shown in the table 4.8.

**Table 4.8: Committee Activities for Involvement and Participation**

<b>Opinion</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Yes	30	100
No	0	0
<b>Total</b>	<b>30</b>	<b>100</b>

From the table Above, All the respondents (100%) indicated that there were committee activities arranged by the management to boost involvement and participation to enhance sustainability of water and health project. This clearly indicates that the management was committed in improving sustainability of water and health projects. The committee played a significant role in getting in touch with the opinion leaders of those areas that projects were implemented. The committees would make the residents understand the importance of the project and why owning the project will play a significant role on its sustainability.

#### 4.4.2 Expatriate Involvement

The respondents were requested to indicate whether there was involvement of expatriate in enhancing sustainability of water and health projects. The results were as shown in table 4.9.

**Table 4.9: Expatriate Involvement**

<b>Expatriate involvement</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Yes	30	100
No	0	0
<b>Total</b>	<b>30</b>	<b>100</b>

According to the findings, all the respondents indicated that expert were involved in enhancing of sustainability of water projects and health projects. Expert's involvement can be attributed to the NGOs needs of establishing the internal systems, structure, and work culture that promote strong leadership and positive organizational image. This in return attracts more funding for projects from donors and other institutions.

The findings are also similar to those of Brown (2007) who indicated that at the program level, the NGO needs to carefully analyze the market and encourage community participation at all stages from design through implementation to evaluation of the program in order to offer quality service at reasonable prices. And for this to happen, experts needs to be involved during project implementation as they bring more knowledge and strategies on how the projects will be in operational in the foreseeable future.

#### 4.4.3 Level of Involvement and Participation

The respondents were asked to state whether there was either involvement of committee members in various organisation activities, formation of advisory boards or the involvement of the local leaders. The results were as shown in table 4.10.

**Table 4.10: Level of Involvement and Participation**

<b>Involvement Level</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Committee activities	10	33
Advisory boards	5	17
Local leaders	15	50
<b>Total</b>	<b>30</b>	<b>100</b>

According to the findings, 50% of the respondents indicated that they involved the local leaders, further 33% of the respondents indicated that they involved the committee members in all their activities and only 17% who indicated that they had formed advisory board which advised the organisation on key issues pertaining to the projects sustainability.

According to the respondents, involvement and participation of stakeholders and target beneficiaries does the following; promotes ownership of the project, enhance resources mobilization, ensures 'planning is participatory, provides oversight and feedback mechanism to the project, ensure success and failure are shared together and enhance smooth take over and maintenance of the projects operation. This shows that the respondent agreed fully that community and other stakeholders participation was fully incorporated during the projects implementation. Pollnac and Pomeroy (2005), study reviewed in the literature who asserted that donor-led and top-down projects generally fail to bring sustainable benefits because they do not lead to stakeholder ownership and commitment.

#### 4.4.4 Groups Involvement and Participation Level

The respondents were requested to indicate the extent of agreement or disagreement on various statements as related to target groups' involvement and participation in the project. The results were as shown in table 4.11.

**Table 4.11: Groups Involvement and Participation**

Statements	1	2	3	4	5	Mean	Std. Deviation
This project is fully owned by the beneficiaries	2(4%)	2(4%)	6(12%)	10(40%)	10(40%)	4.08	0.22
This project is fully owned by stakeholder	4(8%)	4(8%)	2(4%)	8(32%)	12(48%)	4.04	0.28
The target beneficiaries are involved in decision-making	2(4%)	0(0%)	0(0%)	14(48%)	14(48%)	4.36	0.35

According to the findings, the respondents strongly agreed with a mean of 4.36 that the target beneficiaries of the project are involved in key decision-making. With the same mean (4.36) the respondents strongly agreed that the project stakeholders are involved in key decision-

making. The respondents further strongly agreed with a mean of 4.08 that their project is fully owned by the beneficiaries of the project and finally, they strongly agreed with a mean of 4.04 that the project is fully owned by the stakeholder of the project.

These findings concur with Pomeroy and Carlos (1997) who stated that project sustainability cannot be achieved without their involvement and support. Stakeholders, both men and women, should actively participate which means having the opportunity to influence the direction and detail of design and implementation.

#### **4.4.5 Level of Commitment of the Stakeholder and Target Beneficiaries**

The respondents were requested to describe the level of commitment of stakeholder and target beneficiaries of the project. The results were as shown in table 4.12.

**Table 4.12: Level of Commitment**

<b>Level of Commitment</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Very committed	10	33
Committed	20	67
Less committed	0	0
Not committed at all	0	0
<b>Total</b>	<b>30</b>	<b>100</b>

According to the findings, 67% of the respondents indicated that they were committed to and 33% of them indicated that they were very committed. The results depicts that all the respondents were committed to the projects. This show that the project is owned by both the target beneficiaries and Stakeholders and that they are also involved in decision making process. This was a step forward toward enhancing project sustainability. These findings are in line with the literature review especially the study done by Pomeroy and Carlos (1997), who identified the role played by the stakeholders and target groups and their participation in the project activities as one of the critical factors in promoting sustainability of the project.

#### **4.4.6 Effect of Donor Funding Withdrawal**

The respondents were asked to indicate the effect of withdrawal of donor funding to the project. The results were as shown in table 4.13.

**Table 4.13: Effect of Donor Funding Withdrawal**

<b>Donor Funding Withdrawal</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Continue normally	4	13
Will be affected significantly	17	56
Cease Operations	9	30
No effect at all	0	0
<b>Total</b>	<b>30</b>	<b>100</b>

From the findings, 56% of the respondents indicated that the project would be affected significantly, 30 % of the respondents indicated that the withdrawal of donor funding would cease operations. However, 13% of the respondents indicated that the project would continue normally. This showed that most project were not self-sustaining after the withdrawal of the donor funding hence the need to design mechanisms to enhance project sustainability. This also means that much of the projects undertaken may halt in the event the financier decides not to channel any more funds to the specific projects.

#### **4.4.7 Effects of Target Groups Involvement and Participation**

Regarding the effects of target groups involvement and participation on sustainability of the project, the respondents indicated that their involvement is very important since they own and support the project after completion. They also indicated that they bring about desired change, creates a sence of ownership and there is accountability.

#### **4.5 Technical Expertise and Sustainability of Water Sanitation and Health Projects**

The second objective of the study was to examine how technical expertise influence sustainability of water sanitation and health projects.

##### **4.5.1 Effectiveness of the Management**

The respondents were asked to rate the effectiveness of the management of systems adopted in the project. The results were as indicated in table 4.14.

**Table 4.14: Effectiveness of the Management**

<b>Level of effectiveness</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Very effective	5	17
Effective	22	73
In effective	3	10
Very Ineffective	0	0
<b>Total</b>	<b>30</b>	<b>100</b>

According to the findings, 73% of the respondents indicated that the management systems adopted in this project was effective and 17% of them indicated that the system as very effective. However, 10% of the respondents indicated that management of systems adopted in the project as ineffective. According to Heeks (1998) expatriate technical assistance is a common input of the aid programs and projects; how expatriate technical assistance work with their counterparts and colleagues can have a major influence on the prospects for sustainability. These findings were attributed to the realization by the present day donors on the need and the importance of modern systems including technological adoption in project implementation process. However they were faced by environmental challenges such as inadequate power supply as well as poor telecommunication networks.

#### **4.5.2 Training Related to the Job**

The respondents were asked to indicate whether they had undergone training related to job they do in the project. The results were as shown in table 4.15.

**Table 4.15: Training Related to the Job**

<b>Training</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Yes	30	100.0
No	0	0
<b>Total</b>	<b>30</b>	<b>100</b>

From the findings, all the respondents (100%) agreed that they had undergone training that was related to the job they does in the project. This reveals that all the respondents were competent in the different positions they held in the project. The respondents' comments were that most management of donors funded projects employed staff that were educated and that they had relevant training on their fields of operation. This has helped to increase the efficiency and effectiveness in the project operations. Other respondents were of the view

that hiring well trained staff saves the projects time and cost hence increases overall performance therefore making the project sustainable in the long run.

These findings also concurs with Kim (2005) who found out that adequate training to support the introduction of new knowledge is usually an essential component of a sustainability strategy. Training must be relevant and appropriate, and the continuity of the training itself including refresher and follow-up training must also be considered. In many cases, one-off externally funded training activities will be inadequate

#### **4.5.3 Adequacy of Training on the Effectiveness of doing the Job**

The respondents were requested to indicate the adequacy of training on the effectiveness of doing the job. The results were as shown in table 4.16.

**Table 4.16: Adequacy of Training on the Effectiveness of Doing the Job**

<b>Training</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Yes	24	80
No	6	20
<b>Total</b>	<b>30</b>	<b>100</b>

According to the results, all the respondents (80%) indicated that the training they have is adequate to effectively do their job. The results show that all the respondents were trained and hence they were in a position to execute their respondents as expected. Among the kind of trainings offered included on job trainings, team building among others. Wayne, (2006) stated that the task of aligning organizational goals with those of the employee is not merely a communication and training exercise. It has to be reflected deeper within the everyday operations. This is helped by integrating the sustainability strategy down to the core operations of the organization and taking it to the process. If there is no direct link between the sustainability strategy and the core operations, the employee might understand that this is merely a marketing campaign and not a genuine effort. In that case, it will not affect his or her directly or the task he or she performs.



#### 4.5.4 Level of Competency of the Staff Working

The respondents were requested to indicate the level of competency of the staff working in this project. The results were as shown in table 4.17.

**Table 4.17: Level of Competency of the Staff Working**

<b>Competency</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Very competent	12	40.0
Competent	18	60.0
Incompetent	0	0
Not able to rate	0	0
<b>Total</b>	<b>30</b>	<b>100.0</b>

According to the findings, 60% of the respondents indicated that staffs working in the project were competent and 40% of the respondents indicated that the staff working on the project to be very competent. None of the respondents indicated incompetent and not able to rate. This clearly indicates that the staffs employed were competent in executing their roles in the project. The respondents' comments were that most management of donors funded projects employed staff who were educated and that they had relevant training on their fields of operation. This has helped to increase the efficiency and effectiveness in the project operations. Other respondents were of the view that hiring well trained staff saves the projects time and cost hence increases overall performance therefore making the project sustainable in the long run.

#### 4.5.5 Depth Chart on Individuals for Key Changes

The respondents were requested to indicate whether they have a depth chart that lists individuals who can step in and contingency plans for key personnel and partnership changes. The results were a shown in table 4.18.

**Table 4.18: Depth Chart on Individuals for Key Changes**

<b>Opinion</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Yes	23	77
No	7	23
<b>Total</b>	<b>30</b>	<b>100</b>

According to the findings, 77% of the respondents indicated that they had depth chart that lists individuals who can step in and plans for key personell and partnership changes while 12% of the respondents indicated otherwise.

#### **4.5.6 Current Levels of Staff Training on Project Sustainability**

The respondents were asked to indicate extent of agreement or disagreement on whether the current levels of staff training affect the sustainability to the project. The Results were as shown in table 4.19.

**Table 4.19: Current Levels of Staff Training on Project Sustainability**

<b>Staff training</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Agree	12	40
Strongly agree	15	50
Neutral	3	10
Dis agree	0	0
Strongly disagree	0	0
<b>Total</b>	<b>30</b>	<b>100</b>

According to the results, 50% of the respondents strongly agreed that the current levels of training affect the sustainability to the project and 40% of the respondents indicated that they agree on the same while 10% were neutral. This shows that the existing trainings for the donor funded projects were -adequate.

On recommendations in terms of knowledge acquisition that the respondents would make to help improve the sustainability of donor funded projects, the respondents indicated that the project staff must possess relevant technical skills for proper implementation and sustainability of the project. They also indicated this could be through local capacity building; once the donor's leaves the project needs to function independently of aid.

#### **4.6 Funds Utilization and Sustainability of Water Sanitation and Health Projects**

The third objective of the study was to establish the extent to which funds utilization influence sustainability of water sanitation and health projects.

##### **4.6.1 Effectiveness of Donor Financing Policies**

The study sought to the effectiveness of various donor financing policies enhancing sustainability of the project. The results were as shown in table 4.20.

**Table 4.20: Effectiveness of Donor Financing Policies**

<b>Financing Policies</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Mean</b>	<b>Std. Deviation</b>
Timely disbursement of funds	0 (0%)	2(4%)	5(12%)	14(48%)	9(36%)	3.85	0.19
Internal audit	0(0%)	0(0%)	3(8%)	20(64%)	7(28%)	3.89	0.25
Donor Planning timeline	0(0%)	0(0%)	1(4%)	25(80%)	4(16%)	3.81	0.32
Budget policies	0(0%)	0(0%)	1(4%)	22(68%)	7(28%)	3.93	0.27
Financial systems	0(0%)	0(0%)	1(4%)	22(68%)	9(36%)	4.3	0.28

From the findings, the respondents indicated with a mean of 4.30 that financial management systems are very effective. In addition, they indicated with a mean of 3.93 that budget policies are very effective. They also indicated with a mean of 3.89 that internal audit on funds utilization are very effective. The respondents further indicated with a mean of 3.85 that timely disbursements of projects funds are effective. In addition, the respondents indicated with a mean of 3.81 that donor planning timeline is effective. This shows that the existing donor policies play a significant role on the sustainability of funded projects. The literature review did not establish any study that was addressing the issue of effect of donor Policies and project sustainability for the donor funded project hence this study filled this gap.

#### **4.6.2 Funds Utilization on Sustainability of the Project**

The respondents were requested to indicate the extent to which they agreed or disagreed with the fact that funds utilization affects sustainability of the project. The results were as shown in table 4.21.

**Table 4.21: Funds Utilization on Sustainability of the Project**

<b>Funds Utilization</b>	<b>Frequency (f)</b>	<b>Percentage (%)</b>
Strongly agree	17	57
Agree	6	20
Neutral	3	10
Disagree	0	0
Strongly disagree	4	13
<b>Total</b>	<b>30</b>	<b>100</b>

According to the findings of the study, 57% of the respondents strongly agreed that funds statement. 20% agreed, 13% strongly disagreed while 10% were neutral that funds utilization affects sustainability of the project. This showed that most project were not self-sustaining after the withdrawal of the donor funding hence the need to design mechanisms to enhance project sustainability.

Beneficiaries also asserts that: high inflation rates adversely reduces their chances of adopting, maintaining and running interventions that require monetary investments such as the repair of bore holes, storage facilities, processing equipment and buildings handed over to beneficiaries. Hence most of these capital investments by NGO are more likely to be abandoned as a result of high maintenance cost and the purpose for which the facility was provided and its expected benefits will be short lived.

#### **4.6.3 Effects of Inadequate Funds on the Sustainability of the Project**

Regarding the effects of inadequate funds on sustainability of the project, the respondents indicated that it leads to incomplete project and deprivation of long term benefits and hence not serving the purposes. They further indicated that with inadequate funds, there is little or no accountability in the execution of the project. Finally, they indicated that planning becomes difficult.

### **4.7 Political Factors on Sustainability of Water Sanitation and Health Projects**

#### **4.7.1 Political Regime on Sustainability of Development Interventions**

The fourth objective of the study sought to determine whether moderating effect of political factors on sustainability of water sanitation and health projects. The results were as shown in table 4.22.

**Table 4.22: Political Regime on Sustainability of Development Projects**

<b>Statements</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>Mean</b>	<b>Std. Deviation</b>
Force interventions to political strong holds.	1(4%)	1(4%)	0(0%)	8(32%)	20(60%)	4.07	0.24
Force interventions to suit political agenda.	0(0%)	0(0%)	4(16%)	14(56%)	7(28%)	3.81	0.22
Poor governance system shortens project life span by donors.	6(24%)	4(20%)	3(12%)	12(48%)	12(48%)	3.81	0.12
Frustrate NGO effort if interventions make Government unpopular.	1(4%)	0(0%)	1(4%)	22(68%)	7(28%)	3.96	0.27

According to the findings, the respondents strongly agreed with a mean of 4.07 that force interventions to political strong holds affects the sustainability of development interventions. They also agreed with a mean of 3.96 that frustrate NGO effort if interventions make it unpopular affects the sustainability of development interventions. Further, they agreed with a mean of 3.81 that force interventions to suit political agenda and that poor governance system shortens project life span by donor as indicated with the same mean (3.81).

#### **4.7.2 Intervention necessary for Political Interference**

On interventions necessary to avoid political interference, the respondents indicated that that government intervention on legislation to allow NGOs implementing public goods to work freely. They also indicated economic development and a stable macroeconomic environment to promote political stability, reconstruction and governance and government services. It was further realized that NGOs in the study area are immune from political manipulations of governments and their policies changes. NGOs were not motivated by any political consideration revealing that interventions are not pushed to areas of political need where the interventions will be viewed as gift for their political loyalty. Interventions in the name of political loyalty was viewed as a recipe for delivering interventions that will not be sustainable because, intervention either do not meet the needs of beneficiaries or are seen as

gift for their political loyalty hence beneficiaries will not see the need to continue interventions after the exit of projects.

The continuous involvement of NGOs in interventions that challenge gains made by governments in their developmental quest in the long run witness the power of the state heavily descending on them to make sure they are incapacitated to erode their political influence. Most of the beneficiaries from all the communities agreed with the thought of NGOs which indicated political considerations and social values are not in any way affecting the manner in which they will continue interventions to draw the expected benefits. They noted: NGOs do not align themselves to any political grouping or class therefore their activities embrace all manner of persons irrespective of their traditional values or political lineage. If beneficiaries are willing to take charge of their lives for better livelihoods, NGOs are always ready to work with such beneficiaries. This could be a good recipe for project sustainability.

NGOs in the study area work with a high degree of uncertainty because the commitment and support in terms of funding are not stable. It was noted that this uncertainty decrease the extent to which staff engage beneficiaries for fear of change in donor policy that will not allow resources to cover areas where interventions had been initiated.

#### **4.7.3 Recommendations in Terms of Political Interferences**

On recommendations to help improve the sustainability of donor funded projects, the respondents indicated good governance, social policies which encourage a healthy civil society and public accountability of state institutions. They also indicated to enhance civil education to the project beneficiaries and public involvement in implementation.

### **4.8 Discussion**

#### **4.8.1 Community Participation on Project Sustainability**

The first objective of the study was to determine the influence of community participation on sustainability of water sanitation and health projects. The study found that there is a positive significant relationship between participation and project sustainability. Pomeroy and Carlos (1997), argues that one of the critical factors in promoting sustainability of any project is the

role played by the stakeholders and target groups and their participation in the project activities.

On rating the level of involvement and participation of various sectors, the study found that community groups involve and participate in the project fairly. The study also found that the government is involved and participate in the project fairly. Finally, the respondents also revealed that private sector is involved and participates in the projects at a low extent.

Regarding groups' involvement and participation, the study also found that the target beneficiaries of the project are involved in key decision-making. The study further revealed that this project is fully owned by the stakeholder of the project. It was also revealed that the project stakeholder is involved in key decision-making. Finally, the study established that the project is fully owned by the beneficiaries of the project.

On the effects of target groups involvement and participation on sustainability of the project, the study revealed that the respondents involvement is very important since they own and support the project after completion. The study also revealed that the respondents bring about desired change, creates a sense of ownership and there is accountability.

#### **4.8.2 Technical Expertise on Project Sustainability**

The second objective was to examine whether technical expertise influence sustainability of water sanitation and health projects. Technical expertise was found to have influence on project sustainability. This concurs with Heeks, (1998), who argues that expatriate technical assistance is a common input of the aid programs and projects; how expatriate technical assistance work with their counterparts and colleagues can have a major influence on the prospects for sustainability. The study revealed that the management systems adopted in the water sanitation and health project was effective. The study also revealed that the most of respondents had undergone training that was related to the job they do in the project in order to promote sustainability of the project.

The study further established that all the respondents had adequate training to effectively do their job. The staff's workings on the project were also found to be very competent. On whether the respondents had a depth chart that lists individuals who can step in and

contingency plans for key personnel and partnership changes, the study revealed that a majority of the respondents had depth chart that lists individuals who can step in and plans for key personell and partnership changes. The study further revealed that the current levels of staff training affect the sustainability to the project.

On recommendations in terms of knowledge acquisition that the respondents would make to help improve the sustainability of donor funded projects, the study found that the respondents indicated that the project staff must possess relevant technical skills for proper implementation and sustainability of the project. This concurs with Natasha, (2003) who argues that, to promote sustainability the knowledge to be transferred must be selected on the basis of its appropriateness in terms of technical and financial criteria, plus social, gender and cultural acceptability. The study also revealed that this could be through local capacity building; once the donor's leaves the project needs to function independently of aid.

#### **4.8.3 Funds Utilization on Project Sustainability**

The third objective of the study was to establish the extent to which funds utilization influence sustainability of water sanitation and health projects. The study revealed that funds utilization has an influence on sustainability of projects. Analysis on a number of researches has shown that sources of finance have a positive influence on projects (Kasoo, 2010). On the effectiveness of various donor financing policies enhancing sustainability of the project, the study revealed that timely disbursement of projects funds was effective. The study also established that donor planning timeline was effective. The study further established that budget policies, financial management systems and internal audit on funds utilization were effective.

Regarding the effects of inadequate funds on sustainability of the project, the study revealed that inadequate funds lead to incomplete project and deprivation of long term benefits and hence not serving the purposes. It was further established that with inadequate funds, there is little or no accountability in the execution of the project and that planning becomes difficult. Nturibi (2004) stated that for a development project to be financially sustainable, it requires a sound financial base arising from reliable sources of funding, financial systems to facilitate



accountability and cash flow projections and development of marketable products to generate excess income over the expenditure of the project.

#### **4.8.4 Political Factors on Project Sustainability**

The fourth objective of the study sought to determine the effects of political factors on sustainability of water sanitation and health projects. On level of agreement on how political regime affects the sustainability of development interventions, the study found that poor governance system shortens project life span by donors very effectively. The study also revealed that it frustrates NGOs effort if interventions make government unpopular. Edwards (2008) debate that NGOs are unlikely to have a significant impact on political reform, partly because African governments have become adept at containing such possibility through regulation and fragmentation of the NGO “movement,” and partly because NGOs themselves have failed to develop effective strategies to promote democratization. It was also revealed that it force interventions to political strong holds and force interventions to suit political agenda.

On interventions necessary to avoid political intervention, the study established that the government should intervene on legislation to allow NGOs implementing public goods to work freely. The study also found that economic development and a stable macroeconomic environment promote political stability, reconstruction and governance and government services. On recommendations to help improve the sustainability of donor funded projects, the study also revealed that good governance, social policies which encourage a healthy civil society and public accountability of state institutions. The study also found that civil education to the project beneficiaries and public involvement in implementation could help improve the sustainability of donor funded projects.

## **CHAPTER FIVE**

### **SUMMARY OF FINDINGS CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1 Introduction**

This chapter presents a summary of the findings, conclusions and recommendations for practice and further research on the problem. The main objective of this study was to determine factors influencing sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya. The study also sought to determine the effect of community participation, technical expertise, funds utilization and assess the moderating effects of political factors on sustainability of water sanitation and health project sustainability.

#### **5.2 Summary of Findings**

This study targeted both the beneficiaries and employees working with SYPD at Fafi Constituency. A response rate of 75% for the beneficiaries and 93.75% for the staff was registered. Majority of the respondents in the staff category were male as represented by a 60% response rate. While males dominate the NGO work force, women dominated the beneficiary category. The study further revealed that the NGO had a long-term vision and goals as represented by a 100% response rate. This shows that most donors and the NGOs implementing the projects are committed in making sure that the projects are sustainable. It was further revealed that the NGO had strategies to obtain additional funding and support for the project beyond the time of the original grant as represented by an 80% response rate. It was also established that major sources of income for NGOs were from other NGOs or CBOs funding as represented by a 78% response rate.

##### **5.2.1 Community Participation and Projects Sustainability**

This study revealed that there were committee activities arranged by the management to boost involvement and participation to enhance sustainability of water and health project as represented by 100% response rate. It was further established that expert were involved in enhancing of sustainability of water projects and health projects as represented by 100%

response rate. It was further revealed that local leaders were most involved as represented by a 50% response rate, followed by committee members and finally the advisory board. It was further revealed that the target beneficiaries of the project were involved in key decision-making as shown by a mean of 4.36.

It was also revealed that that the project would be affected significantly if the donor withdraw their funding's as represented by a response rate of 56%.This showed that most project were not self-sustaining after the withdrawal of the donor funding hence the need to design mechanisms to enhance project sustainability.

### **5.2.2 Technical Expertise and Projects Sustainability**

It was revealed that management systems adopted in this project was effective as shown by 73% response rate.All the respondents (100%) agreed that they had undergone training that was related to the job they does in the project as represented by 80% response rate. This reveals that all the respondents were competent in the different positions they held in the project. The respondents' comments were that most management of donors funded projects employed staff who were educated and that they had relevant training on their fields of operation as represented by 60% response rate.

It was also revealed that the training they have is adequate to effectively do their job. The results show that all the respondents were trained and hence they were in a position to execute their respondents as expected. It was also established that staffs working in the project were competent as represented by a 60% response rate. It was further revealed that the current levels of training affect the sustainability of the project. This shows that the existing trainings for the donor funded projects were adequate.

### **5.2.3 Funds Utilization and Projects Sustainability**

From the study findings, it was revealed that there was timely disbursement of projects funds was effective as represented by a mean of 4.3. The donor planning timeline was effective and the budget policies to be effective. It was further revealed that that most projects were not self-sustaining after the withdrawal of the donor funding hence the need to design mechanisms to enhance project sustainability as represented by a 57% response rate.

Inadequate funds leads to incomplete project and deprivation of long term benefits and hence not serving the purposes. With inadequate funds, there is little or no accountability in the execution of the project. Finally, planning of these funds also becomes difficult.

#### **5.2.4 Political Factors and Projects Sustainability**

This study further revealed that force interventions to political strong holds affect the sustainability of development interventions as represented by a mean of 4.07. It was further revealed that a countries development and a stable macroeconomic environment to promote political stability, reconstruction and governance and government services. It was further realized that NGOs in the study area are immune from political manipulations of governments and their policies changes. NGOs in the study area work with a high degree of uncertainty because the commitment and support in terms of funding are not stable. It was noted that this uncertainty decrease the extent to which staff engage beneficiaries for fear of change in donor policy that will not allow resources to cover areas where interventions had been initiated.

### **5.3 Conclusion**

The study concludes that there is a positive significance relationship between community participation and sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya. The study also concludes that community groups and the government involvement and participation in the project were rated fair. The study further concluded that that the projects are fully owned by the stakeholder of the project. The effect of target groups involvement and participation on sustainability of the project, is very important since they own and support the project after completion. The effect is found to be positive as it leads to bring about desired change and creates a sense of ownership and there is accountability.

The study also concludes that there is a positive significance relationship between technical expertise and sustainability of water sanitation and health projects. Technical expertise influence sustainability of water sanitation and health projects. Most of respondents were found to have undergone training that was related to the job. The level of the staff competence has an impact on the sustainability of water sanitation and health projects. In

terms of knowledge acquisition, the project staff must possess relevant technical skills for proper implementation and sustainability of the project.

The study also concludes that there is a positive significant relationship between funds utilization and sustainability of water sanitation and health projects. Timely disbursement of projects funds and donor planning timeline was effective. The study further concluded that budget policies, financial management systems and internal audit on funds utilization were effective. Inadequate funds lead to incomplete project and deprivation of long term benefits and hence not serving the purposes. Inadequate funds, leads to little or no accountability in the execution of the project and that planning become difficult.

The study further concluded that there is a relationship between political factors and sustainability of water sanitation and health projects. The study also concludes that good governance; social policies encourage a healthy civil society and public accountability of state institutions to help improve the sustainability of donor funded projects. Civil education to the project beneficiaries and public involvement in implementation help improve the sustainability of donor funded projects.

#### **5.4 Recommendations**

The findings of the study revealed a number of issues that affect the sustainability of NGO led development projects. In the course of the study the findings also brought out insights that could help improve the sustainability of water sanitation and health projects. The following recommendations are informed by the findings.

- i. Firstly, NGOs should continue to focus on the delivery of interventions that increase access to water, healthcare, employable skills, and credit due to the inadequate delivery of these services by the local authorities. To enhance the sustainability of these projects, there should be Community-NGO-Donor network during the design and implementation of interventions. This should be done by adopting participatory management approaches at the organizational and beneficiary levels to ensure greater local participation such that these interventions widely reflect the needs of

- beneficiaries to make them sustainable enough to bring about the needed benefits to make beneficiaries non-dependent.
- ii. Additionally, NGOs in the study area should cooperate more effectively with each other to avoid the duplication of interventions in communities and encourage the participation of stakeholders at all levels of development. There is need to educate and empower the local communities on the sustainability of the project to ensure that they are able to articulate the goals and objectives of the project and push them forward after withdrawal of donor funding. To this regards, .the beneficiaries must be consulted during project conception, preparation and implementation processes.
  - iii. Significantly, cost effective interventions must be delivered to ensure that maintenance and running cost does not deter beneficiaries from continuing interventions. By this, NGOs should introduces interventions that are consistent with local technology and within the capabilities of local artisans such that maintenance and running cost will be within the reach of beneficiaries to ensure that they continuously derive maximum benefits from interventions.
  - iv. Further, NGOs should specialize on their core capabilities to functionally position themselves in the delivery of interventions to meets the needs of beneficiaries. These functional capabilities will over time raise the credibility of NGOs to source funds in that intervention area rather than amassing series of interventions without any specialty which potentially could lead to the delivery of unsustainable interventions.
  - v. The donor should assess the target beneficiaries and stakeholder capacity to handle and continue running of the projects. The project handing over should only be done once the donor is fully convinced beyond reasonable doubt that the target beneficiaries and stakeholder have adequate capacity, knowledge and skills to effectively run the project. This will ensure sustainability of the projects.

#### **5.4.1 Suggestion for Further Studies**

1. This study was limited to factors influencing sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya. The research suggests that the same studies should be conducted on the other parts of the country to enhance better sustainability of water sanitation and health projects in all parts of the country.
2. The study also recommends further studies on the role of private sector institutions on sustainability of water sanitation and health projects.

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## **APPENDICES**

### **Appendix i: Introduction Letter**

**Francis Kamau Muhia**

**P.O. Box**

Nairobi

**Dear Respondent,**

Re: Data collection for research study

I am a student at the University of Nairobi. I am conducting an investigation on the factors influencing sustainability of water sanitation and health projects implemented by Sustainable Development and Peace Building Initiatives at Fafi Constituency, Garissa County Kenya and you has been selected to contribute to it. Please answer the following questions honestly and objectively to the best of your knowledge, the information obtained will be treated with strict confidentiality. Please do not write your name on the questionnaire. Thank you for your acceptance and support.

**Yours faithfully**

**Francis Muhia**

## Appendix ii: Questionnaire for Project Staff

I am a student undertaking my Master of Arts in Project Planning and Management of the University of Nairobi. This questionnaire is meant to assist me in collection of data. The information you will provide will strictly be used for this study only and confidentiality is assured. Kindly put a tick on the boxes provided.

### Demographic Information

1. Gender of the respondent?

Male  Female

2. Respondent's position:

Director  Project Manager  Projects Officer  Accountant  System administrator

Others (specify)

.....

3. Indicate your Age Category.

Below 20 years  20-29 years   
30-39 years  40-49 years  Above 50 years

4. How long have you been working on this project?

Less than 6 months  Between 6 months- 1 years   
Between 1-3 years  Between 3-5 years   
Above 5 years

5. What is your highest level of education?

Primary  Secondary  Tertiary College   
Undergraduate  Postgraduate

Other (specify)

.....

...

6. Do you have a long-term vision and goals for the project and its partners?

Yes  No

7. Do you have strategies to obtain additional funding and support for the project beyond the time of the original grant?

Yes [ ]                      No [ ]

**8.** Do you have a project promotion and marketing plan for raising awareness of the project and updating and disseminating its products?

Yes [ ]                      No [ ]

**9.** Who are the major sources of income for this project?

Local fund raising                      [ ]

NGO/CBOs funding                      [ ]

Self-sustenance                      [ ]

Government funded                      [ ]

Church funding                      [ ]

Others (Specify)

.....  
**Community Participation and Sustainability of water sanitation and health Projects**

**10.** How would you rate the level of involvement and participation of following in this project? Rate as follows; 4= greatly, 3 = fairly, 2 = low, 1= very low,

<b>Institutions</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
Committee activities				
Advisory board				
Local leaders				

**11.** To what extent would you agree or disagree with the following statement as relate to target groups involvement and participation in this project? Rate as follows; 1=Strongly Agree, 2 = Agree, 3 = Neutral, 4 = Disagree, 5 = Strongly Disagree.

<b>Statements</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
This project is fully owned by the beneficiaries of the project					
This project IS fully owned by the stakeholder of the project					
The target beneficiaries of the project are involved in key decision-making					
The project stakeholder are involved in key decision-making					

**12.** How would you describe the level of commitment of stakeholder and target beneficiaries to the project?

- Very committed [ ]
- Committed [ ]
- Less committed [ ]
- Not committed at all [ ]

**13.** What do you think would be the effect of withdrawal of donor funding to this project?

The project will.

- Continue normally [ ]
- Cease operations [ ]
- Will be affected significantly [ ]
- No effect at all [ ]

**14.** In your view, what are the effects of target groups involvement and participation on the sustainability of this project?

.....

**Technical Expertise and Sustainability of water sanitation and health Projects**

**15.** How would you rate the effectiveness of the management systems adopted in this project?

- Very effective [ ]
- Effective [ ]
- Ineffective [ ]
- Very ineffective [ ]

**16.** Have you undergone any training related to the job you do in this project?

- Yes [ ]                      No [ ]

**17.** Do you think the training you have is adequate to effectively do your job?

- Yes [ ]                      No [ ]

**18.** How would you rate the overall level of competency of the staff working in this project?

- Very competent [ ]                      Competent [ ]
- Incompetent [ ]                      Not able to rate [ ]

**19.** Do you have a depth chart that lists individuals who can step in and/or contingency plans for key personnel and partnership changes?

- Yes [ ]      No [ ]



**20.** To what extent would you agree or disagree with the fact that the current levels of staff training affect the sustainability of this project?

- Strongly agree        [ ]
- Agree                    [ ]
- Neutral                 [ ]
- Disagree                [ ]
- Strongly disagree    [ ]

**21.** What recommendations in terms of knowledge acquisition would you make to help improve the sustainability of donor funded projects?

.....

**Funds Utilization and Sustainability of water sanitation and health Projects**

**22.** How would you rate the effectiveness of the following donor financing policies in enhancing sustainability of this project? Rate as follows; 1 = Very effective, 2 = Effective, 3 = ineffective, 4 = very ineffective, 5= Do not know

<b>Policies</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Timely disbursement of projects funds					
Internal audit on funds utilization					
Donor Planning timeline					
Budget policies					
Financial management systems					

**23.** To what extent would you agree or disagree with the fact that funds utilization affect the sustainability of this project?

- Strongly agree        [ ]
- Strongly disagree    [ ]
- Agree                    [ ]
- Neutral                 [ ]
- Disagree                [ ]

**24.** In your view, what are the effects of inadequate funds on the sustainability of this project?

.....

.....

**Political Factors as a moderating variable and Sustainability of water sanitation and health Projects**

25. What is your level of agreement on how political regime affects the sustainability of development interventions? 1=Strongly Agree, 2 = Agree, 3 = Neutral, 4 = Disagree, 5 = Strongly Disagree.

<b>Political regimes</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
Force interventions to political strong holds.					
Force interventions to suit political agenda.					
Poor governance system shortens project life span by donors.					
Frustrate NGO effort if interventions make government unpopular.					
Others.....					

26. Which intervention do you think are necessary to avoid political interference in the implementation of the organisation projects?

.....  
 .....

27. What recommendations in terms of political interference would you make to help improve the sustainability of donor funded projects?

.....  
 .....

**THANK YOU FOR YOUR COOPERATION**

**Appendix iii: Interview Guide for the Beneficiaries**

I am a student undertaking my Master of Arts in Project Planning and Management of the University of Nairobi. This questionnaire is meant to assist me in collection of data. The information you will provide will strictly be used for this study only and confidentiality is assured.

1. What intervention is the NGO(s) you are working with carrying out in your resident?

.....  
.....

2. How long has the NGO(s) been implementing their interventions in your community?  
State the number of years.

.....  
.....

3. Does the NGO seek your views before activities are implemented?

.....  
.....

4. Will the group be able to continue activities of interventions after NGO has exited intervention?

.....  
.....

5. Does the NGO involve you (beneficiaries) in the planning of interventions?

.....  
.....

6. Do you know the institution sponsoring the NGO implementing development intervention in your community?

.....  
.....

7. Do you feel their actions can affect the way you will continue interventions after NGO exit?

.....  
.....  
8. Does the political regime affect the sustainability of development interventions in your community?

.....  
.....  
9. How will a political regime affect your response to interventions after NGO exit?

.....  
.....  
**THANK YOU FOR YOUR COOPERATION**

**Appendix iv: Krejcie & Morgan (1970) Table**

<b>N = Population</b>	<b>S = Sample size</b>
10	10
15	14
20	19
25	24
30	28
35	32
40	36
45	40
50	44
55	48
60	52
65	56
70	59
75	63
80	66
85	70
90	73
95	76
100	80
110	85
130	97
140	103
150	106
170	118
180	123
190	127
200	133
210	136
220	140
230	144
240	148
250	152
260	155
270	159
280	162
290	165



### Appendix vi: Fafi Constituency Map

#### IEBC REVISED FAFI CONSTITUENCY COUNTY ASSEMBLY WARDS

