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FACTORS INFLUENCING IMPLEMENTATION OF RELIEF PROJECTS IN  
HUMANITARIAN NON-GOVERNMENTAL ORGANIZATIONS IN NAIROBI  
COUNTY.

BY

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A research project submitted in partial fulfillment of the requirements for the award of  
Masters of Arts Degree in Sociology (Advanced Disaster Management)

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**DECLARATION**

I declare that this project is my original work and has not been submitted to any other institution for any purpose. I acknowledge authors cited in this document.

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**PROF: E.K, MBURUGU**

## **DEDICATION**

To the Almighty God who gave me the physical and mental strength to accomplish the work as required. Also to my loving son Shaun who has been my great source of encouragement. You are indeed a blessing, I would use all the beautiful words to describe you, but they cannot exhaustively explain just how much I appreciate you.

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## **LIST OF ABBREVIATIONS**

<b>KRA</b>	–	Kenya Revenue Authority
<b>NGO</b>	–	Non Governmental Organization
<b>SPSS</b>	–	Statistical Package for Social Sciences
<b>UON</b>	–	University of Nairobi

## ABSTRACT

This study sought to examine the factors influencing implementation of relief projects in humanitarian non-governmental organizations in Nairobi County. Specifically, to determine how management influence implementation of relief projects in humanitarian non-governmental organizations in Nairobi County, to establish the extent to which financial sustainability influences implementation of relief projects in humanitarian non-governmental organizations in Nairobi County, to investigate how regulatory framework influences implementation of relief projects in humanitarian non-governmental organizations in Nairobi County and to assess the extent to which stakeholder involvement influences implementation of relief projects in humanitarian non-governmental organizations in Nairobi County. The study adopted a descriptive research methodology and the target population of 190 registered humanitarian Non - Governmental Organizations which operate in Nairobi County was used. The sample size was 95 non-governmental organizations and data was collected using questionnaires and key informants guide. Data was then analyzed using statistical packages for social scientists software and presented using tables and percentages.

The study found out that majority of the respondents 80.8% consider strategic plans important tool in Project management in humanitarian non-governmental organizations while 19.2% think otherwise, majority of the respondents 87.1% said the non-governmental organizations had conducted feasibility studies prior to project implementation while only 12.9% had not done feasibility studies, majority of the respondents 91.1% were conversant with NGOs Co-ordination Act while 8.9% were not conversant with the Act and 75.6% of the respondents consider stakeholder participation an important aspect of project management while 24.4 percent do not consider it important. Humanitarian non-governmental organizations should be encouraged to establish accountability systems and put in place financial sustainability measures by establishing alternate sources of incomes. It is recommended that the Government should raise awareness on legal and regulatory framework among Humanitarian non-governmental organizations and put in place measures to ensure all Humanitarian non-governmental organizations obtain PIN numbers and tax exemption certificates from the revenue authority. Humanitarian non-governmental organizations should be encouraged to hold stakeholder meetings with project beneficiaries as this improves project implementation status in non-governmental organizations. The Government through the NGOs Co-ordination Board should put in place regulation that requires Humanitarian Non-governmental Organizations to have strategic plans and accountability structures as soon as they are registered.

## **CHAPTER ONE: INTRODUCTION**

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

This chapter initiates the research by giving it a dimension and tries to build a comprehensive argument to establish a true picture of the phenomenon on the ground. It highlights the objective, purpose, and the goals of the study and why the study was done. According to Lyson, (2006), the main activities involved in implementation precisely referred to as physical Implementation management (PDM) are, inventory control, material handling, protecting packaging and transportation. Kottler (1996) on the other hand indicates that Implementation is the transfer of goods from the producer to the customer.

Project implementation in organizations appears to be the most difficult aspects of a manager's job (Boles, 2002). The purpose of project management is to forecast or anticipate potential dangers and problems that may jeopardize the success of a project and then to plan; organize and control activities that will lead to the successful completion of projects in spite of all the envisaged risks. However, in practice more than 80% of projects run late or over budget. The consequences of ineffective implementation of projects are also likely to have a poorly motivated workforce (Lock, 2003).

Relief project implementation is therefore critical to the success any organization. The chances of a project succeeding can be increased if firms have an understanding of what the critical success factors are to systematically and quantitatively assess these critical variables, anticipating possible effects, and then choose appropriate methods of dealing with them. For successful project implementation, the project management must have

adequate project formulation, sound project organization, proper implementation plan, and advance action on certain activities, timely, availability of funds, better management and effective monitoring (Chandra,2008).

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. NGOs are well known 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.

According to Antill (1974), a project is only successful if it comes on schedule, on budget, it achieves the deliverables originally set for it and it is accepted and used by the clients for whom the project was intended. A project in its basic definition is a temporary endeavor undertaken by people who work cooperatively together to create a unique product or service (Project Management Institute, 2000) within an established time frame and within established budget to produce identifiable deliverables. Project success has been defined by the criteria of time, budget and deliverables.

According to Boyce and Haddad (2001), projects possess certain characteristics that distinguish them from any other activity in the organization. These include the fact that projects are temporary meaning that any project will have a start date and end date although it has nothing to do with short duration. Another feature is that projects produce

unique results meaning that the product or service at the end of the project should be some way different than the existing. The other characteristic is that projects are characterized by progressive elaboration due to uniqueness and greater uncertainty projects cannot be understood entirely at or before project start, and therefore planning and execution of projects is happening many times in separate steps or phases. Implementation is the stage where all the planned activities are put into action. Before the implementation of a project, the implementers who are spearheaded by the project committee or executive should identify their strength and weaknesses including internal forces, opportunities and threats which include external forces. The strength and opportunities are positive forces that should be exploited to efficiently implement a project.

Examples of relief projects being conducted by the Humanitarian NGO's in Kenya include projects implemented by a non-governmental organization called Danish Refugee Council. Nairobi hosts approximately 52,000 registered refugees from Somalia, Ethiopia, Congo, Rwanda, Eritrea and Sudan. An approximate 100,000 refugee population is unregistered in Nairobi and other urban centers. Danish Refugee Council assists the urban refugees in accessing protection from violence and other forms of rights violations, including gender-based violence. In addition, Danish Refugee Council seeks to empower refugees and promote self-reliance through practical livelihood interventions and life-skills trainings (Flaman and Gallagher, 2001).

Humanitarian Assistance Program manages efforts aims at improving the capacity of partner nations to respond to humanitarian crises. The efforts include providing technical aid and facilitating the construction of relief shelters, emergency operation centers and

fire stations. On a consistent basis, Humanitarian Assistance Program officials at the command's headquarters plan, coordinate and facilitate the provision and improvement of emergency response infrastructure and capabilities throughout Nairobi region. They also sponsor disaster preparedness exercises, seminars, and conferences aimed at improving the collective ability of people to respond effectively and expeditiously to disasters.

Another example of relief project intervention is where pastoralist communities living in the North Eastern Kenya have been severely affected by the deteriorating food security just like all the pastoralists in the horn of Africa region. Humanitarian organizations have come to their rescue where they send and donate relief food and water to the human beings to cater for their survival. According to Antill (1974), the quality and quantity of pasture are extremely poor. Most livestock have either died or are in extremely poor condition. The poor rainfall has resulted in inadequate recharging of water sources and regeneration of pasture. Distances to water for both livestock and domestic use have increased and food security situation is similarly precarious.

### **1.1.2 Humanitarian NGO's in Kenya**

Humanitarian assistance is generally the accepted aid and action designed to save lives, alleviate suffering and maintain and protect human dignity during and in the aftermath of man-made crises and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situations (Good Humanitarian Donorship).

The qualitative and quantitative growth of NGO's in Kenya over the last quarter of the 20th century has been enormous. For instance, NGO's registered a cumulative growth of over 100% between 1977 and 1987. By 1995 there were at least 23,000 women's



organizations in the country. Most of these organizations are registered under the Ministry of Culture and Social Services. Those NGOs that are registered by the NGO Coordination Bureau (under the Office of the President) are at least 1441 compared to only 250 in 1993. We use the terms NGO's and civic organizations interchangeably to cover organizations in the civil society that are voluntary, independent and not self-serving (Chandra, 2008).

The operations of NGO's in Kenya and other countries are hampered by many factors. These have implications for NGO autonomy. For instance, the operational environment of NGO's determines the effectiveness of programs and projects undertaken by the humanitarian NGO's. How NGO's as organizations are run or behave depends on for instance, the political, economic, and social conditions in the country. For example the donors, the founders and the beneficiaries will influence and drive the NGO's operations (Muiruri, 2006).

## **1.2 Statement of the Problem**

Disaster management plays an important role in the development of a country, especially in the poorer nations. Areas and communities where disasters strike are hindered, particularly in the socio-economic sector. Non-Governmental Organizations plays a significant part in disaster management by minimizing the impact of a disaster and increasing the efficiency and effectiveness of the response. One way of improving the efficiency of interagency cooperation is the use of information and communications technology. In disaster situations, various agencies have a pre-defined role on how to respond to assist the affected people. In most instances a Government agency plays the

coordinating role in the disaster management system. Non-governmental organizations with specializations in different areas work alongside various government agencies to reduce the recovery time for those affected by a disaster. (Ishmael Hussein, 2009).

One of the critical problems concerning the humanitarian NGO's in Kenya is the frequent and lengthy delays that occur during relief project implementation. In order to improve this situation, it is necessary to first identify the major causes of relief project poor implementation, or non-implementation. Several studies have already been done around relief project success and failure in organizations. The survey conducted by the NGOs Board in 2009 required NGOs to indicate whether or not they were aware of the various Regulatory Frameworks which affect implementation of projects in NGOs, the report does not however show how such regulatory frameworks affect implementation of relief projects in NGOs.

No study has attempted to analyze the factors influencing implementation of relief projects in Humanitarian Non-Governmental Organizations in Nairobi County. To bridge that gap, and to address the issues poised by the dynamism of projects as detailed above, the study sought to undertake the analysis of implementation of relief projects in humanitarian NGO's in Nairobi County. Relief project implementation calls for sharper tools of planning and control and improved means of coping with human problems. NGO's have been receiving a lot of funds to implement projects in various sectors of the economy to complement governments' efforts in improving well-being of all citizens; however very little impact has been realized in the various sectors. Specifically, according to the annual returns submitted to the NGOs Board by humanitarian NGOs

with relief projects during 2013/2014 financial year, a number of NGOs had not implemented their projects (NGOs Board Database 2015). Therefore, the research examined the factors influencing implementation of relief projects in humanitarian NGO's in Nairobi County.

### **1.3 Research questions**

The study sought answers to the following four questions:

- i. How does management influence implementation of relief projects in humanitarian non-governmental organizations in Nairobi County?
- ii. To what extent does financial sustainability influence the implementation of relief projects in humanitarian non-governmental organizations in Nairobi County?
- iii. How does regulatory framework influence implementation of relief projects in humanitarian non-governmental organizations in Nairobi County?
- iv. To what extent does stakeholder involvement influence implementation of relief projects in humanitarian non-governmental organizations in Nairobi County?

### **1.4 Research Objectives**

#### **1.4.1 Main Objective**

The main objective of the study was to determine the factors influencing implementation of relief projects in humanitarian non-governmental organizations in Nairobi County.

### **1.4.2 Specific Objective**

The following were the specific objectives that guided the study:

- i. To determine how management influence implementation of relief projects in humanitarian non-governmental organizations in Nairobi County.
- ii. To establish the extent to which financial sustainability influences implementation of relief projects in humanitarian non-governmental organizations in Nairobi County.
- iii. To investigate how regulatory framework influences implementation of relief projects in humanitarian non-governmental organizations in Nairobi County.
- iv. To assess the extent to which stakeholder involvement influences implementation of relief projects in humanitarian non-governmental organizations in Nairobi County.

### **1.5 Significance of the Study**

The study was beneficial to the management of humanitarian NGO's in Nairobi County who used the recommendations of the study to improve and identify management gaps on implementation of relief projects in Nairobi County. It got information which was beneficial to the Government Regulating Agencies such as the NGO Co-ordination Board and the Development Partners. The NGO's Co-ordination Board used the findings of the study to guide in developing policies for NGO's. The study also helped in finding a solution to the challenges facing management and implementation of relief projects in NGO's. Donors and government agencies were able to realize the implementation problems facing the relief projects in the county. The study helped to improve

effectiveness and efficiency of the humanitarian organizations in Nairobi County and gave comprehensive advice on how to set up and implement the relief projects in Nairobi County for development purposes of the society and contribution to the economy.

## **1.6 Scope and Limitations of the Study**

### **1.6.1 Scope of the Study**

The study was limited to the humanitarian non-governmental organizations in Nairobi county dealing with relief projects. This sector was believed to be representative in establishing the factors influencing implementation of relief projects in humanitarian NGO's in Nairobi County. The scope was limited to Nairobi County because Nairobi is the epicenter of the developmental sectors, which includes all humanitarian NGO's, in the country. A target population of 190 employees from the NGO Coordination board was used. Thus, for a study that wants to focus on the relief projects in humanitarian NGO's, Nairobi became a very suitable study area.

### **1.6.2 Limitations of the Study**

The study covered Nairobi County; there were challenges of limited funds as the humanitarian organizations were spread round the county. The study sought information from respondents through questionnaire and some respondent failed to fill the questionnaires and some failed to return filled questionnaires on time.

## **1.7 Definitions of Key Terms**

**Accountability** Refers to transparency in Financial Management, Procurement and Recruitment. It includes existence of Performance Management Systems, Accounting functions duly headed by qualified Certified Public Accountants of Kenya registered by the Institute of Certified Public Accountants of Kenya under the Accountants Act of 2008. It also includes existence of Audit Committees, Internal Audit functions, Risk Management Framework and Participatory Monitoring and Evaluation Frame works.

**Feasibility Study** Refers to the process of ascertaining whether or not a project is economically. Viable .It comprises cost benefit and break even analysis.

**Financial Sustainability** Refers to the extent to which the NGOs can continue Implementing Projects even if the Donors pull out. This includes Presence of alternative sources of funds other than Donor Funding, and Feasibility studies prior to project implementation.

**Implementation** Is the carrying out, execution or practice of a project plan. It is measured by the degree of completion of a Project.

**Legal and Regulatory Framework** Refers to adherence to the Provisions of the NGOs Act of 1990 and Income Tax Act Cap 470 Laws of Kenya.

**Management** Refers to the organization and coordination of activities of an enterprise in accordance with certain policies and in achievement of defined objectives.

**Non Governmental Organization** Refers to a private voluntary groupings of individuals or associations not operated for profit or for other commercial purposes' but which have organized themselves nationally or internationally for the benefit of the public at large and for the promotion of social welfare development, charity or research in the areas inclusive but not restricted to health, relief, agriculture, education industry and supply of amenities and services.

**Project** Is defined as temporary endeavor to achieve an objective (PMI, 2004). Temporary means the project has a time frame within which it should have achieved its set objectives within a fixed budget, usually funded by a donor.

**Influence** defined as the effect of the fluctuation in the value of an independent variable on the value of a dependent variable.

**Relief**

Assistance and/or intervention during or after disaster to meet the life preservation and basic subsistence needs. It can be of emergency or protracted duration.

**Humanitarian Assistance**

means the aid and action designed to save lives alleviate suffering and maintain and protect human dignity during and in the aftermath of man-made crises and natural disasters, as well as to prevent and strengthen preparedness for the occurrence of such situation



## **CHAPTER TWO: LITERATURE REVIEW AND THEORETICAL FRAMEWORK**

### **2.1 Introduction**

This section reviews literature based on related studies on factors influencing implementation of relief projects in Humanitarian Non-Governmental organizations under the following headings: Influence of management on implementation of relief projects in Humanitarian NGOs, Influence of financial sustainability on implementation of relief projects in Humanitarian NGOs, Influence of stakeholder involvement on relief projects in Humanitarian NGOs and Influence of regulatory framework on implementation of relief projects in Humanitarian NGOs. The section further discusses feasibility study of projects in NGOs.

### **2.2 Literature Review**

#### **2.2.1 Management and its effects on Implementation of Relief Projects in**

##### **Humanitarian NGOs**

In Kenya, corporate leadership has drawn the attention of various stakeholders and organizations making them embrace their various organizational concepts in order to effectively implement relief projects that are vital in a very competitive atmosphere. For most NGOs in Kenya, emphasis is always placed on democratic leadership where maximizing participation and involvement of group members together with empowerment for decision-making are key. A manager must provide leadership if the people in his/her organization are to work together to achieve its goals and mission (Mulube, 2009).

According to Mintzberg (2004) good implementation of relief projects is dependent on the development of environment for employees by the organization management who are the true foot soldiers of implementation of the ongoing project. In day to day activities, managers are people who work through other people to coordinate their activities in order to accomplish their organizational goals. In his studies on the importance of management in firm performance, (letting, 2009) established that management was a key factor in the success of all implementation plans.

According to Beer and Eisenstat (2000) poor top-down management style or poor vertical communication can be a cause of resistance to project implementation. At the same time, they observed that top management is responsible for the provision and allocation of implementation factors such as leadership and organizational culture in facilitating project implementation. It may be argued that management of an organization strategy should not be restricted to the top managers but managers at all levels. In fact various authors appear to have a common theme that implementation failures occur at middle level and lower level management.

According to (Champoux, 2000) successful management requires effective use of power in overcoming barriers to change, Power refers to a leader's ability to get things done in a way he or she wants them to be done. It is the ability to influence other people's behavior, to persuade them to do things that they would otherwise not have done and to overcome resistance and opposition to changing direction. Effective exercise of power is essential for successful leadership.

### **2.2.1.1 Strategic Plans**

According to (Aosa, 1992) strategic planning is an organizational management activity that is used to set priorities, focus energy and resources, strengthen operations, ensure that employees and other stakeholders are working toward common goals, establish agreement around intended outcomes/results, and assess and adjust the organization's direction in response to a changing environment. It is a disciplined effort that produces fundamental decisions and actions that shape and guide what an organization is, who it serves, what it does, and why it does it, with a focus on the future. Effective strategic planning articulates not only where an organization is going and the actions needed to make progress, but also how it will know if it is successful. Effective management in any organization should be keen to emphasize on the need for proper plans in the organization for there to be effective implementation and completion of any project. Although the author tried to bring out the importance of strategic plans in the organization; he failed to bring out the concept of what happens if strategic plans are not adhered to thus the need for the study.

According to (Letting, 2009) building a strategic plan is not difficult. It will take some thought and some feedback from customers and others, but businesses should be routinely garnering feedback from appropriate constituent groups on an ongoing basis. The process of developing a strategic plan should be rewarding for all involved and usually helps develop stronger communications between members of the organization of the planning team. Many relief NGOs have developed strategic plans only to put them on a clear schedule about their work. Project managers in the humanitarian organizations

need a well-developed strategic plan in order to effectively establish expectations for their employees. Without a plan, expectations are developed in a void and there is little or no alignment with common goals. A good strategic plan looks out 2 to 5 years and describes clearly how the business will grow and prosper over that planning horizon. The author brings out clearly the idea of strategic plan implementation. He however failed to analyze the concept of what would result if strategic plans were of a short period of time. He also failed to show what would result to an organization that does not have strategic plans in place thus leading to the need for the study

Relief NGO's may also plan their financial statements (i.e., balance sheets, income statements, and cash flows) for several years when developing their strategic plan, as part of the goal setting activity. In order to make the most of strategic planning, the NGO should give careful thought to the strategic objectives it outlines, and then back up these goals with realistic, thoroughly researched, quantifiable benchmarks for evaluating results (Robbins and Coulter, 2003). The author stated well the essence of implementation of goals through well planned strategic plans but did not state the results of not adhering to the plans advice thus bringing out the need for the study.

#### **2.2.1.2 Accountability System**

According to (Cross, 2005) accountability is also a management process that ensures employees answer to their superior for their actions and that supervisors behave responsibly as well. Accountability addresses both the organization's expectation of the employee and the employee's expectation of the organization. Accountable employees help to increase performance of business as a whole and to maintain a positive company

culture, vision, and ethics. Accountability on a global scale, particularly in the case of NGOs, is complicated by the fact that different countries have varying legislative perspectives when it comes to accountability. The concept of accountability was clearly explained in the content but the author failed to show what would result in an organization if the accountability system was not put in place thus creating need for the study.

According to (Aysis, 1989) organizations accountability system is a management control process in which responses are given for a person's actions. These responses can be positive or negative. Accountability is often used synonymously with responsibility, blameworthiness, and liability. In leadership roles, accountability is the acknowledgment and assumption of responsibility for actions, products, decisions, and policies including the administration, governance, and implementation within the scope of the role or employee position. As leaders often make decisions with far-reaching consequences, accountability has a substantial ethical component. Accountability also has a strong connection to expectations. Employees who do not meet the expectations of their supervisor are held accountable for their actions and must answer for their inability to do so. As much as the author tries to show us how an accountability system helps meet expectations of employees of the organization, the author, however failed to show what happens to the top management of any organization if they fail to be accountable for their actions and who they are accountable to thus bringing the need for the study.

Accountability is crucial to ensuring high performance within an organization. However, managers must clearly communicate expectations to the person who is responsible for the specified action or task. Clear communication of expectations and well-defined goals are effective tools to enhancing performance at every level of organization and vital to sustaining a culture of accountability. Without defined goals, employees lack a frame of reference for how they are performing in the workplace. They are unable to rely on guidelines or a structure that helps them achieve their performance goals. Both subordinates and supervisors should have a clear idea of how their projects should be handled and delivered. The author failed to show how different managers in large organizations contribute in various ways to a company's decisions and policies and also failed to identify who should be accountable for the results they produce thus the need for the study (Champoux, 2000).

### **2.2.2 Financial Sustainability and its effect on Implementation of Relief Projects in Humanitarian NGOs**

Project Financing includes the processes required to ensure that the project is completed within the approved budget (PMBOK, 2008). The major processes are: resource planning, cost estimating, cost budgeting and cost control. Project cost management is primarily concerned with the cost of the resources needed to complete project activities. The important issue for the success of an organization is not to whom specific responsibilities have been assigned, but rather that these functions are addressed in a timely fashion and are handled effectively. The functions of finance should be handled in accordance with the goal and objectives of the organization. The success of projects is

judged by the efficiency with which we achieve the project objectives and that efficiency is assessed by measuring against two constraints – cost and time. Project managers must recognize that time, cost and resource estimates must be accurate if project planning, scheduling, and controlling are to be effective. At the work package level, the person most familiar with the task should make estimates (West, 2008).

#### **2.2.2.1 Feasibility Study**

According to (Gregory, 2005) feasibility study is the total of the actions you take and the questions you ask to determine whether an idea, thought or plan is likely to succeed. An effective study can guide you on whether you should move forward with your idea, refine it, or scrap it altogether and go back to the drawing board. An organization should conduct a feasibility study in order to ensure the project to be implemented on is valid. Feasibility studies are focused and specific. A feasibility study is an investigative tool that might cause you to discount an idea, whereas a business plan is call to action. The author brought out the importance of conducting a feasibility study before embarking on any project but failed to state the repercussions of engaging in any project implementation endeavor without conducting a study thus bringing out the need for the study.

Project feasibility study examines a number of variables and can reveal that even though a project might be beneficial to your organization. Conducting a feasibility study helps you determine your likelihood of success and can indicate how and when to do a project. Project feasibility studies show you the risk/reward benefit, opportunity costs and overall return. If a feasibility study doesn't take into account the time of the year the project will occur, re-evaluate the study to determine if its projected results will change depending on

when you undertake the project. The author failed to show how not putting into consideration the timing of any project to be implemented would lead to thus it's a necessary factor to have a need for the study (West, 2008).

#### **2.2.2.2 Budget Allocation**

According to (Young, 1998) project budgeting involves allocating the project cost estimate to individual work items. A properly constructed budget must reflect the way that resources are applied to achieve planned objectives over time. As a project manager in any organization, you must have as much direct control of your budget as possible if you are going to be held accountable for the project outcome. A properly constructed budget must reflect the way that resources are applied to achieve planned objectives over time. Effective control of cost gives the opportunity to forestall inevitable cost escalation, foresee potential problems and take advantage of possible savings. The author gave a clear outline of the essentials of a budget and what it foresees and did not clearly outline the logic behind not having a properly made budget thus creating need for the study.

According to (Bull, 1991) a budget is a management and planning tool, not just an accounting document. It assists in the allocation of resources. Budgets are usually developed for 12-month periods. When developing a budget, revenues are usually estimated first to determine the level of resources that will be available in the upcoming budget year. When developing budgetary allocations, all needs of the organization are taken into account and decisions are made where best to allocate available money. Budgetary allocations should be routinely monitored to ensure the amounts budgeted are sufficient to meet expenditures. It is important to have a tracking system in place for all



purchase orders and bills. Thou the author tried to show the importance of monitoring the budget to check its effectiveness; it was not clearly established by the author on the need for monitoring and having a tracking system for the budget thus the need for the study. There was also a need for the author to show how the budgets should be monitored and tracked thus the need for the study.

### **2.2.2.3 Humanitarian Action**

According to (Daniel, 2009) funding for humanitarian aid is failing to keep pace with growing humanitarian need, and a disproportionate amount is being spent on reactive relief. Only a fraction is spent on attempts to reduce vulnerabilities. In terms of disasters and food insecurity, humanitarian assistance largely comes after the event. Most resources are used to ease the pain inflicted by catastrophic events, and this model of response already buckles beneath the weight of need in Africa .Similarly, people affected by floods or other disasters need tarpaulins over their heads to shelter them from the elements, or mosquito nets to protect them from harmful bites. How much better, though, to remove them from harm's way or help them to minimize the impact, before the event even occurs. Little work is being done to help communities reduce or eliminate their vulnerabilities. Once the food aid comes to an end or the displacement camps shut down, people typically return to the same precarious situation that contributed to the original problem. Across the continent, an ongoing cycle of crisis–relief–crisis is being played out.

Humanitarian funds must be actively and structurally directed towards disaster risk reduction programming. Risk reduction can no longer be seen as just an aspect of humanitarian assistance. Instead, it needs to become the driving philosophy behind how disasters are addressed. Funding structures remain polarized between humanitarian and development budget lines. This rigid separation makes it difficult for agencies to design and deliver programs that are problem-orientated rather than classification driven. Development is not separate from humanitarian need. Disasters and food insecurity often are the result of bad or non-existent development. This gap needs to shrink if not disappear. There needs to be better coordination between allocations from development and humanitarian budgets. One way to do this is to invest in activities that strive to link disaster response to recovery and risk-aware development (Daniel, 2009).

### **2.2.3 Stakeholder Participation/ Involvement and its effect on Implementation of Relief Projects in Humanitarian NGOs**

Stakeholder engagement is vital to community development planning, implementation, and evaluation, ensuring that development projects are appropriate, effective, and sustainable. Several barriers that may hamper participation stakeholder participation in project implementation are considered: social norms and values, the legal system, administrative rules and procedures, and income distribution. Plummer (2000) identifies several factors affecting participation: skills and knowledge, employment, education and literacy, cultural beliefs and practices, gender, social and political marginalization are all factors that can impact on the level of participation in the activities of project implementation.

### **2.2.3.1 Community Stakeholder Engagement**

According to (Cooke and Kothari, 2001) stakeholder engagement refers to substantive, two-way dialogue between an organization and its stakeholders. A stakeholder is anyone who may be affected by, or may affect a project. In the case of community development, stakeholders may include project donors, partner NGOs, government agencies, community participants and others. Engaging stakeholders can help to identify and prioritize community development needs and opportunities, to identify potential positive or negative impacts from extractives operations that development projects may further leverage or help to mitigate, gather innovative ideas, identify community resources and encourage community member involvement in project design, implementation, and monitoring. The author clearly brought out the importance of stakeholder engagements but did not outline the cons associated with engaging the community in implementation of projects thus bringing the need for the study.

Kapoor (2002) depicts two stakeholder engagement steps during community development process. During the planning phase, the organization should focus on identifying key stakeholders, the potential positive and negative impacts of the operation, community needs and existing community resources and assets. During the implementation phase, ongoing dialogue and participation is required to inform key decision making. In the monitoring and evaluation phase, the impact of projects should be assessed together with stakeholders and communicated along with lessons learned. Effective community engagement in implementation projects may provide a springboard

for building and maintaining positive community relations. The author failed to mention all the phases included in community engagement example monitoring and evaluation.

#### **2.2.3.2 Community Participation**

According to (Bull, 1991) establishing and maintaining good relationships with communities and other key stakeholders is critical to an organizations efforts to earn its 'social license to operate' and may help to surface stakeholder issues, concerns before they become potential risks. Community relations and community development efforts are often closely aligned. Positive community participation is the foundation of successful community implementation projects and may help to shape project design and foster constructive partnerships with stakeholders. The author brought to writing the importance of having community participate in the implementation processes but failed to outline the potential risks that can be accrued from the participation. This thus brought forward the need for the study.

#### **2.2.3.3 Protection of the affected community through assistance**

Ensuring protection and providing humanitarian assistance are not two separate issues. Rather, humanitarian assistance is an integral part of protection and should be planned to ensure that the rights of the affected people and others of concern are respected (right to life, right to adequate living conditions, protection of specific categories of people such as older persons, unaccompanied and separated children, single parents etc.) and as part of a single emergency operation. Women, men, girls and boys of concern must be consulted and involved in planning humanitarian interventions as soon and as frequently as possible from the very beginning of the emergency project. Their roles in the

community should also be understood. Often, especially at the beginning of an emergency, older persons, persons with disabilities, unaccompanied and separated children, and some single parents are less able to access food, shelter material, health care and other humanitarian assistance with ease. Specific efforts must be made to identify the obstacles as early as possible and ensure that the groups have equal access and are being supported by the community. Furthermore, sexual exploitation by aid workers and other personnel has, sometimes, been linked to the provision of humanitarian assistance. Women, girls and boys of concern especially have been exploited by aid workers who are in a position to provide them with essential items such as food, shelter, education and medical care or by persons in positions of authority (UNHCR Handbook for Emergencies, 2006).

#### **2.2.4 Regulatory Framework and its effects on Implementation of Relief Projects in Humanitarian NGOs.**

Registration under the NGOs Act, NGOs are still subject to other legislative requirements such as Immigration Act and Finance Act. Most especially the hiring of foreigners to fill NGOs staff positions are subjected to immigrations act for obtaining work permits for such staff as required under Section 28 of the NGOs Act of 1990 (Mbote, 2000).

##### **2.2.4.1 Conversant with the NGO Act**

NGOs are expected to self-regulate their activities without any interference from either the regulator or the government as stipulated under part IV of the Act (NGO Board, 2009). NGOs have time and again become victims of abuse from bad leadership, greed, corruption, criminal abuse, external interference, money laundering and all the ills that

bedevil the society. On the other hand, they are supposed to be answerable to their members through their constitutions and by adhering to the Code of Conduct and Regulations.

A survey conducted by NGOs Co-ordination Board in 2006 revealed that only 60 per cent of NGOs were aware of the Regulations and the Code of Conduct. The survey also sought to establish the level of awareness on the existence and contents of Sessional paper No. 1 of 2006. The sessional paper provides a policy framework for the regulation and enablement of NGOs in Kenya. Most of the NGOs (68 per cent) were not aware of the Sessional Paper No. 1 of 2006 on Non-Governmental Organizations. Amongst the international NGOs, 25 per cent indicated that they were aware of the sessional paper and 75 per cent were not. On the other hand, 32 per cent of national NGOs were aware of the sessional paper, compared with 68 per cent that were not (NGO Board, 2006).

#### **2.2.4.2 Tax Exemption**

According to (NGO Board Annual report, 2010) the Government of Kenya grants tax exemptions to NGOs on project facilities and funds received from various donors. This is meant to support NGOs since they play a complementary role in delivering goods and services to the public. The tax benefit is administered by the Kenya Revenue Authority (KRA) as provided for in the guidelines by the Ministry of Finance regarding payment of taxes in respect of income and goods donated to NGOs and charitable Institutions. On the other hand, local authorities may exempt NGOs from paying rates as stipulated in their By-Laws. During the financial year 2009/2010, a total of KES 8,466,841 in terms of Tax exemptions and rates payable was granted to various organizations

Most non-governmental organizations take the view they are exempt from income tax in Kenya by virtue of their status. It is always important for such organizations to take appropriate legal steps to obtain a valid income tax exemption as indicated in the Income Tax Act. The author explained the tax exemptions applied to the NGO's and did not state which NGOs are eligible for tax exemption and to what percent is the tax exemption applied.

### **2.3 Theoretical Review**

According to (Bull, 1991) a theory is defined as a set of interrelated concepts, definitions, and propositions that present a systematic view of phenomena by specifying relations among variables with the purpose of explaining or predicting the Phenomena. The study was based on Systems and Management theories.

#### **2.3.1 Systems Theory**

The system theory was developed by biologist Ludwig Von Bertalanffy. Little john (1983) defines a system as a set of objects or entities that interrelate with one another to form a whole. System theory is basically concerned with problems or relationships, of structures, and of inter-dependence, rather than with the constant attributes of object. This theory can be related to individuals in the Non-governmental organizations and how they relate to each other in the implementation of relief projects. The systems theory views an organization as a social system consisting of individuals who cooperate within a formal framework, drawing resources, people, finance from their environment and putting back into that environment the products they produce or the services they offer. This theory is

based on the view that project managers in the NGO's should focus on the role played by each part of an organization; rather than dealing separately with the parts.

According to (Koontz, 2001) the systems theory maintains that an organization does not exist in a vacuum. It does not only depend on its environment but it is also part of a larger system such as the society or the economic system to which it belongs. The systems approach is concerned with both interpersonal and group behavioral aspects leading to a system of cooperation. A Humanitarian NGO is a complex system consisting of the staff, and numerous stakeholders. The system theory emphasizes unity and integrity of the organization and focuses on the interaction between its component parts (employees of the organization) and the interactions with the environment. It suggests that organizations must be studied as a whole taking into consideration the interrelationships among its parts and its relationship with the external environment. Humanitarian NGOs are open systems hence they respond to the external influences as they attempt to achieve their strategic objectives.

### **2.3.2 Management Theories**

Bhargara, 2003 states that management theories are central to project implementation in any organization. Managers in the NGO should strive to create an environment in which others are motivated to put in their best. It is incumbent upon the project leader in the NGO's to provide direction and purpose for the organization and to carry everyone along with her/him. The project manager must get commitment of his team members. McGregor and other scholars for example have stressed the importance of mutual goals set by the project managers as a clue to commitment. Essentially management involves accomplishing goals with and through people. As such, a project manager must be



concerned about tasks and human relationships. These management concerns seem to be a reflection of two of the earliest schools of thought in organization theory, the 'Scientific Management' movement led by Fredrick W. Taylor in early 1900s and the 'Human Relations' movement led by Elton Mayo and his associates in the 1920s and early 1930s.

According to Cole (2002) the Authoritarian Style of management behavior is often based on the assumption that the power of project managers is derived from the position they occupy and that people are innately lazy and unreliable (Theory X). The Democratic Style assumes that the power of managers is granted by the group they are to lead, and that people can be basically self-directed and creative at work if properly motivated (Theory Y). Consequently, in the authoritarian style, all policies are determined by the project manager; in the democratic style policies are open for group discussion and decision.

Henri Fayol's management theory is a simple model of how management interacts with personnel in their day to day activities. Fayol's management theory covered concepts in a broad way; therefore any organization can apply his theory of management. Today the business organizations consider Fayol's classical management theory as a relevant guide to productivity by managing staff. The management theory of Henri Fayol includes 14 principles of management. From these principles, Fayol concluded that management should interact with personnel in five basic ways in order to control and plan its implementation of projects. It involves planning, organizing, staffing, leading, and controlling. Planning involves selecting missions and objectives and the actions to achieve and implement them. It requires decision-making – i.e., choosing future courses

of action from among alternatives. Plans range from overall purposes and objectives to the most detailed actions to be taken. In other words, before a decision is made, all that exists is planning, analysis, or a proposal; there is no real plan. People working together in groups to achieve overall goal must have roles to play. Generally, these roles have to be defined and structured by someone who makes sure that people contribute in a specific way to group effort. Organizing, therefore, is that part of management that involves establishing an intentional structure of roles for people to fill in an organization.

Project managers who have well-developed conceptual skills are able to apply different management theories to any project Implementation. For a manager to be technical, it implies that he or she should act professionally. Professionalism demands that the manager performs his or her duties within established procedures, rules and regulations. Any behavior that compromises the manager's professional etiquette is certainly bound to interfere adversely with the organization's productivity. Lastly, a manager should be able to view members of the organization as human beings who have needs and psychological feelings and emotions. These needs and feelings must be positively harnessed for the good of the organization; motivation of the employees, therefore, becomes a critical factor in increasing productivity.

In conclusion, it has to be restated that management is the process of designing and maintaining an environment for the purpose of efficiently accomplishing selected aims. Managers carry out the functions of planning, organizing, staffing, leading, and controlling. Managing is an essential activity at all organizational levels. However, the managerial skills required vary with organizational levels. The goal of all project

managers is to create a surplus and to be productive by achieving a favorable output-input ration within a specific time period with due consideration for quality.

## **2.4 Conceptual Framework**

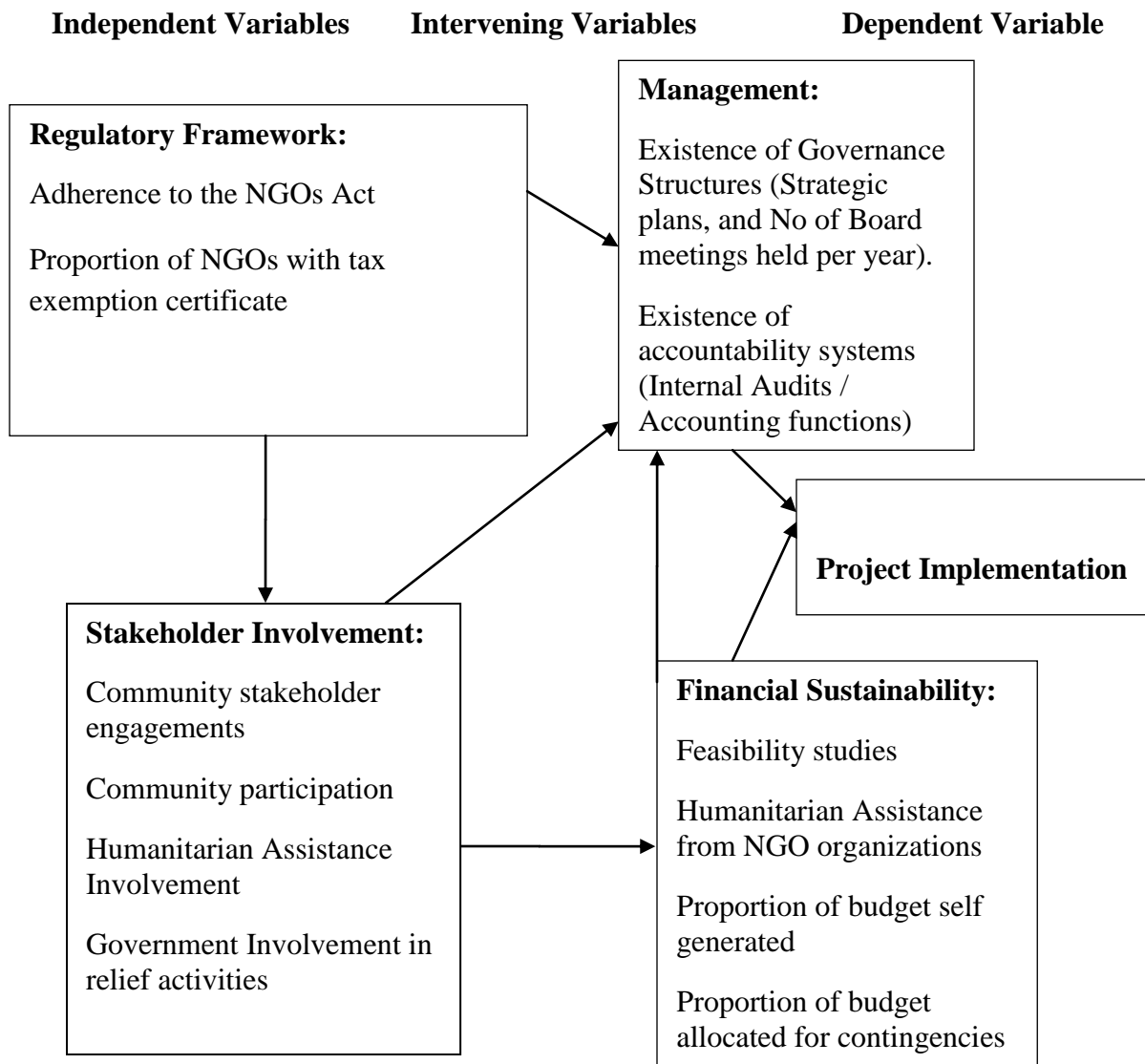
According to (Reichel & Ramey, 1987) a conceptual framework is a set of broad ideas and principles taken from relevant fields of enquiry and used to structure a subsequent presentation. When clearly articulated, a conceptual framework has potential usefulness as a tool to scaffold research and, therefore, to assist a study to make meaning of subsequent findings. Such a framework should be intended as a starting point for reflection about the research and its context. The framework is a research tool intended to assist a study to develop awareness and understanding of the situation under scrutiny and to communicate this. As with all investigation in the social world, the framework itself forms part of the agenda for negotiation to be scrutinized and tested, reviewed and reformed as a result of investigation.

A Conceptual framework is a hypothesized model identifying the model under study and the relationships between the dependent variable and the independent variables (Mugenda & Mugenda, 2006). Parson and Shils (1962) argue that a conceptual framework, description categories are systematically placed in broad structure of explicit prepositions, statement of relationships between two or more empirical properties to be accepted or rejected. It consists of Independent, and Dependent variables.

According to Kothari (2003), a variable is a concept, which can take on qualities of quantitative values. A dependent variable is the outcome variable, the one that is being predicted and whose variation is what the study tries to explain. The independent

variables, also known as the predictor or explanatory variables, are factors that explain variation in the dependent variable. The conceptual framework of this study will be based on four independent variables and one dependent variable as represented diagrammatically in Figure 2.1. According to the study, implementation of relief projects is conceptualized as being dependent on Management, Financial Sustainability, Regulatory Framework and Stakeholder Involvement. The conceptual framework of the study is shown in the figure below.

**Figure 2.1. Conceptual Framework of factors Influencing Project Implementation**



## **CHAPTER THREE: RESEARCH METHODOLOGY**

### **3.1 Introduction**

This Chapter gives the methodology which was used in the study. It also provides information on research design, target population, sample size, sampling technique, sampling procedure, unit of analysis and unit of observation, methods of data collection, validity of instrument, data analysis and ethical considerations.

### **3.2 Research Design**

The study adopted descriptive research design. It adopted descriptive research because the method applies both qualitative and quantitative approaches to research. The researcher used descriptive research design because of its low content of data manipulation and because the population that was used was homogeneous in nature. It's also an easy method of carrying out a research. Descriptive research was bended in this study to obtain information concerning the current status of the phenomenon to describe 'what exists; with respect to specific variables or conditions in the situation.

Kerlinger (1973) describes descriptive research design as a systematic empirical inquiry into which the researcher does not have direct control of independent variables as their manifestation has already occurred or because they inherently cannot be manipulated.

### **3.3 Target Population**

Population refers to an entire group of individuals which are the concern for the study within the area of the study (Mugenda and Mugenda,2003).According to Ngechu (2004), a population is a well-defined or set of people, services, elements, events, group of things

or households that are being investigated. There are 190 Humanitarian NGOs registered to operate in Relief sector in Nairobi County (NGO Board database, 2014).The population was considered ideal for the study because it is based in Nairobi city that comprises areas which are highly populated with high poverty levels and thus inhabited by most humanitarian NGOs.

### **3.3.1 Sample Size**

Sample size is that finite size of statistical population whose properties are studied to gain information about the whole population (Welman and Kruger, 2001).A Sampling frame is a list of elements from which the sample is actually drawn from and is closely related to the population (Mugenda and Mugenda, 1999). Kothari (2008) suggest that in descriptive studies, fifty percent of the survey population is representative enough to generalize characteristics being observed. In this study therefore fifty percent of the accessible population constitutes the sample size. Therefore 95 respondents and 20 key informants from NGOs were interviewed out of the 190 relief NGOs registered to operate in Nairobi County.

### **3.3.2 Sampling Technique and Sampling Procedure**

The sampling technique used was simple random sampling. (Mugenda, 1999), Each individual is chosen randomly and entirely by chance, such that each individual has the same probability of being chosen at any stage during the sampling process, and each subset of individuals has the same probability of being chosen for the sample as any other subset of individuals. A simple random sample is an unbiased surveying technique. The

principle of simple random sampling was that every object has the same probability of being chosen.

According to Gay (2003) sampling is a process in which a number of individuals are selected for a study in such a way that the large group from which these individuals will be selected are represented by them. The respondents were divided into sub-groups depending on their age and level of education and after dividing the population into sub-groups, simple random sampling technique was applied whereby a random number generator table was used to generate the sample size to be used in the study.

Numbers were randomly selected from within the range of 1 to 190 from which a sample size of 95 numbers representing different organizations were formulated. Duplicate numbers were not allowed. The organizations were numbered and the represented by the numbers were the ones chosen for the study. The sample size was represented as shown in Table 3.1.

**Table 3.1 Sample Size from the Random Number Generator**

102 190 065 160 066 107 085 152 090 174 114 154 175 161 013 075 130 158 163 007  
094 074 183 189 118 141 021 051 012 128 111 113 125 070 095 121 182 089 087 146  
109 119 088 180 096 018 010 134 092 168 132 098 149 187 124 123 076 176 017 063  
166 047 162 060 170 126 117 151 043 023 045 030 073 136 139 027 032 067 084 001  
059 178 011 081 072 171 173 167 185 105 131 150 156 169 179

### **3.4 Unit of Analysis and Unit of Observation**

#### **3.4.1 Unit of Analysis**

It refers to those units that we initially describe for the purpose of aggregating their characteristics in order to describe some larger group or abstract phenomenon (Mugenda and Mugenda, 2003). In this study, the units of analysis were the factors influencing implementation of relief projects in humanitarian non- governmental organizations in Nairobi County. The analysis was done to examine the effect of management on implementation of relief projects in humanitarian non- governmental organizations in Nairobi County, to determine the effects of financial sustainability on implementation of relief projects in humanitarian non- governmental organizations in Nairobi County, to identify the effects of regulatory framework on implementation of relief projects in humanitarian non- governmental organizations in Nairobi County and also to investigate how stakeholder involvement affect implementation of relief projects in humanitarian non- governmental organizations in Nairobi County.

#### **3.4.2 Unit of Observation**

It is the subject, object, item or entity from which we measure the characteristic or obtain the data required in the research study (Mugenda and Mugenda, 2003). The units of observation were the chosen 190 employees in the relief non-governmental organizations. There was primary and secondary data. Secondary data was obtained through desk research which was mainly be obtained from the organization's past reference materials and other published materials while key informants and the officers in the humanitarian relief organization provided primary data.



### **3.5 Tools or Instruments of Data Collection**

According to Polit and Hungler (1999) data collection is the gathering of pieces of information that are necessary for research process. Structure approach of collecting data was utilized.

#### **3.5.1 Collection of Quantitative Data**

Questionnaires were administered to employees to obtain quantitative data to the study. They were issued to respondents who are directly involved in the relief project implementation process. The respondents were given enough time to complete the questionnaires and they were later picked for data analysis.

#### **3.5.2 Collection of Qualitative Data**

Qualitative data for the research was collected from key informants through key informants guide. Key informants are also another method of data collection and are used hand in hand with questionnaires to reach a wide range of respondents. The feedbacks to key informant questions were obtained from the organizations executive directors, deputy executive directors and departmental heads.

### **3.6 Validity of Instruments**

Validity determines whether the research truly measures that which it will be intended to measure or how truthful the research results are (Joppe, 2000). In this study, the research instruments were given to the supervisor who scrutinized all the questions in the tool to assess their appropriateness in addressing key issues of the study. The instruments were also subjected to prior review where questions were restructured and language used reviewed if deemed necessary.

### **3.7 Data Analysis**

Both qualitative and quantitative data was collected for the study. Data analysis involved editing, coding, tabulation and classification. Editing involves cleaning of the data, coding is the process in which variables are noted in the form of symbols or numeric characters, tabulation involves organizing data into tables in preparation for computer manipulation while classification is the organization of similar objects into same classes in order to maintain cohesion. Data was analyzed using Statistical Package for Social Scientist (SPSS) software to establish statistical relationships between variables. The data was presented using frequency tables and percentages.

### **3.8 Ethical Considerations**

The study sought consent and permission of respondents through the relevant authorities. The researcher also ensured confidentiality of the information collected from the respondents. The information gathered did not include the names of any respondents regarding their response from the filled questionnaires in order to make them respond without any suspicions or victimization. It was clearly communicated to the respondents that the research was purely conducted for academic purposes.

## **CHAPTER FOUR: DATA ANALYSIS, PRESENTATION AND INTERPRETATION**

### **4.0 Introduction**

This chapter presents the results of the study. After collecting data from the respondents, the data was edited, classified, coded and tabulated. The results were organized according to the objectives of the study and presented using tables and figures. The data analysis was based on the research objectives and questionnaire items which were analyzed and presented. The chapter was divided into quantitative and qualitative analysis to facilitate comparisons and interpretation.

### **4.1 Social and Demographic Characteristics**

#### **4.1.1 Analysis of Response Rate**

Table 4.1 represents the response rate. The researcher prepared and issued 95 questionnaires, 78 of them were filled representing 82.1% of the total sample population while 17 were not filled representing 17.9% of the total sample size, reason for not filling the questionnaires being unknown to the researcher. The response rate of 82.1% was considered significant enough to provide the basis for reliable conclusions. It can be inferred that there was good response rate.

**Table 4.1 Response Rate**

<b>Category</b>	<b>Frequency</b>	<b>Percentage</b>
Response	78	82.1
Non Response	17	17.9
<b>Total</b>	<b>95</b>	<b>100.0</b>

#### 4.1.2 Gender Distribution

Gender distribution in the table 4.2 stands at 80.7% for male and 19.3% for female .The study shows total number of males and females who responded. The persons who responded in this study were male and female respondents who were above 18 years. From the table it can be concluded that there were more male respondents than female. From the findings, it was evident that majority of relief projects in humanitarian NGOs are headed by male staffs and it is mostly attributed to the nature of work which involves a lot of field work and men are more flexible in travelling than women.

**Table 4.2 Gender Distribution of Heads of NGOs**

<b>Category</b>	<b>Frequency</b>	<b>Percentage</b>
Male	63	80.7
Female	15	19.3
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### 4.1.3 Age Distribution

According to the analysis in table 4.3, majority of respondents 42.3%, fell in the age bracket of between 31-40 years, 26.9% fell in the bracket age of between 21-40 years, 23.1% of respondents fell within the age bracket between 41-50 years while 7.7% of respondents fell in between the age bracket of over 50 years. From this study, majority of the respondents are between the ages of 31-40 years.

Majority of the respondents 42.3% who fell in the bracket age of between 31- 40 are middle adult who are developing their careers and are more conversant with

implementation of relief projects.

**Table 4.3 Age of Distribution**

<b>Age bracket(years)</b>	<b>Frequency</b>	<b>Percentage</b>
20-30	21	26.9
31-40	33	42.3
41-50	18	23.1
Over 50	6	7.7
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.1.4. Level of Education of Heads of NGOs**

The below findings in table 4.4 shows an insight on the education level of the heads of NGOs. Nearly 53% of the respondents had at least attained a bachelor's degree, 37.2% of the respondents had master's degree, 7.7% had PhD, 2.5% had diploma. However, none of the respondents had secondary level of education.

Since majority of the respondents had attained bachelor's degree, it was concluded that project staffs were well educated and competent for their positions.

**Table 4.4 Education Level of Respondents**

<b>Education level</b>	<b>Frequency</b>	<b>Percentage</b>
PhD	6	7.7
Masters	29	37.2
Bachelor's degree	41	52.6
Diploma	2	2.5
Secondary	0	0
<b>Total</b>	<b>78</b>	<b>100.0</b>

**4.1.5 Distribution of the NGOs by year of Registration**

Table 4.5 shows the findings which revealed that majority of the NGOs 48.6% were registered between 2004-2008, followed by 33.3% who were registered between 1998-2003, 9.7% who fell between 1992-1997 while 8.4% were registered between 2009-2012. From the findings, most NGO's have been in existence for many years. It be concluded that majority of them have carried out many relief projects and are more conversant with their work.

**Table 4.5 Distribution of the NGOs by year of Registration**

<b>Year of Registration</b>	<b>Frequency</b>	<b>Percentage</b>
1992-1997	7	9.7
1998-2003	24	33.3
2004-2008	35	48.6
2009-2012	6	8.4
<b>Total</b>	<b>72</b>	<b>100.0</b>

## **4.2 Influence of Management on Implementation of Relief Projects in NGOs.**

### **Introduction**

The study sought to establish influence of management on implementation of relief projects in humanitarian NGOs in Nairobi County. The specific parameters of analysis were: whether they consider a strategic plan an important tool in Relief Project management, why Humanitarian NGOs have strategic plans, whether they adhere to the strategic plan in project implementation, percentage of project budget spent on strategic plans, average number of Board meetings held per annum, whether they have accountability systems in place and reason that motivates NGOs to conduct annual financial audits. The parameters below were used to measure the influence of Management on implementation of relief projects in NGO's.

#### **4.2.1 Importance of Strategic plan in Relief Project Management**

Strategic planning encourages efficiency and effectiveness in utilisation of organisations scarce resources. Strategic plans are tools for delivering project strategies and provide framework for monitoring and evaluation. They enable organisations to continuously compile reports on impact. Therefore the study sought to establish how many of the respondents consider strategic plans important tools of relief project management and the findings were as tabulated in table 4.6 below:

From the table 4.6 the study found out that majority of the respondents 80.8% consider strategic plans important tool in Project management in humanitarian NGOs, while 19.2% did not consider strategic plans important tools of project management. The study therefore concludes that most humanitarian NGOs consider strategic plans an important tool of Project management. One of the chief executive officer defined strategic plan as:

*“ A document containing a systematic processes of envisioning a desired future and translating the visions into broadly defined goals and objectives and a sequecy of steps to achieve them All”.*

**Table 4.6 Response whether strategic plan in Relief Management is important**

<b>Response</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	63	80.8
No	15	19.2
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.2.2 Strategic Plans in NGOs**

The study sought to establish reasons why humanitarian NGOs need strategic plans. The study therefore sought the views of the respondent on why humanitarian NGOs need strategic plans. The results were as tabulated in table 4.7 below: From the table 4.7 the study found out that majority of the respondents 79.5% consider strategic plan a donor requirement which was also supported by the results from key informants where majority of respondents indicated that strategic plan was a donor requirement while 20.5% consider it a regulatory requirement. Another key informant indicated that:

*“ As much as the document is considered important in the implementation of the project, most humanitarian organization have it to impress the donor and in our organization it came to place because it was one of the requirement for funding”.*



This implies that most NGOs develop strategic plans because it is a donor requirement and accountability in NGOs is due to pressures from donors and rating agencies to meet externally established performance indicators.

**Table 4.7: Reason for Strategic plans in NGOs**

<b>Reason</b>	<b>Frequency</b>	<b>Percentage</b>
Donor Requirement	62	79.5
Regulatory Requirement	16	20.5
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.2.3 Adherence to the Strategic Plan in project Implementation**

The study sought to establish humanitarian NGOs adherence to their strategic plans. The study sought to establish the level of compliance and the results were as follows: From the table 4.7 the study found out that majority of the respondents 55.2% partially comply with their strategic plans, 34.6% fully comply with strategic plans while 10.2% does not comply with strategic plans. The results from the key informants also established that majority of the respondents indicated that their organizations partially comply with the strategic plan. As indicated by one of the key informant:

*“ We have strategic plan in place but we do not fully adhere to it. In the process of project implementation and specifically the relief project, there are many issues that crop up and as a result changes have to be effected, therefore it becomes hard to fully comply with the strategic plan ”.*

**Table 4.8 NGOs Compliance to Strategic plans**

<b>Compliance</b>	<b>Frequency</b>	<b>Percentage</b>
Fully Comply	27	34.6
Partially Comply	43	55.2
Does not Comply	8	10.2
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.2.4 Proportion of Budget Spent on Strategic Plan**

After establishing compliance to strategic plan, the study also sought to determine the percentage of project budget spent on strategic plan. The results were as tabulated in table 4.9 below: From the table 4.9 the study found out that majority of the respondents 54.0% spent between 0-20 percent of project budgets on strategic plans, 36.8% spent 21-30 percent while 9.2% spent over 30%.

**Table 4.9: Proportion of Budget Spent on Strategic Plan**

<b>Percentage spent</b>	<b>Frequency</b>	<b>Percentage</b>
0-20	41	54.0
21-30	28	36.8
Over 30	7	9.2
<b>Total</b>	<b>76</b>	<b>100.0</b>

#### **4.2.5 Board meetings in Humanitarian NGOs**

The study also sought to establish the number of Board meetings held by NGOs in a year. The results were as tabulated in table 4.10 below: From the table 4.10 the study found out

that majority of the respondents 44.8% held only one meeting in a year, 28.3% held 2 meetings, 16.6% held 3 meetings, 6.5% held over 3 meetings in a year while only 3.8% held no meeting. This could be attributed to improved awareness on corporate governance in NGOs. It is important for any NGO to hold board meetings so as to discuss the progress of set projects. Board meetings are an important tool in management in that they help to discuss ways forward, rectify on areas that need change and discuss on the correct path to be followed. It is therefore advisable for any organization to carry out board meetings for there to be progress in the organization.

**Table 4.10: Number of Board Meetings held in a Year**

<b>Number of Meetings</b>	<b>Frequency</b>	<b>Percentage</b>
None	3	3.8
1	35	44.8
2	22	28.3
3	13	16.6
Over 3	5	6.5
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.2.6 Accountability systems in NGOs**

The study sought to find out the accountability systems that exist in NGOs. The results were as tabulated in table 4.11 below: From the table 4.11 the study found out that majority of the respondents 55.2% have accounting function, 29.5% have finance manuals, 11.5% have performance management systems while only 3.8% have Internal Audit functions. The study therefore concludes that majority of NGOs have accounting

functions in place. It is therefore concluded that accountability of NGOs is a major concern and it's worth noting that some NGOs have more than one system in place.

**Table 4.11: Accountability systems in NGOs**

<b>Accountability system</b>	<b>Frequency</b>	<b>Percentage</b>
Internal Audit	3	3.8
Finance Manual	23	29.5
Accounting Function	43	55.2
Performance management systems	9	11.5
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.2.7 Why Humanitarian NGOs Conduct Annual Financial Audits**

After establishing accountability systems in place, the study also sought to determine the factor that motivates NGOs to conduct annual financial audits. The results were as tabulated in table 4.12 below: From the table 4.12 the study found out that majority of the respondents 57.6% conduct audit because it is a Donor requirement, 28.2% conduct audits because it is a government requirement while 14.2% conduct audits because it is their organization policy to conduct financial audits. The study therefore concludes that majority of Humanitarian NGOs conduct financial audits since it is a Donor requirement.

**Table 4.12: Why Humanitarian NGOs Conduct Annual Financial Audits.**

<b>Factor</b>	<b>Frequency</b>	<b>Percentage</b>
Donor requirement	45	57.6
Government requirement	22	28.2
Organizations policies	11	14.2
<b>Total</b>	<b>78</b>	<b>100.0</b>

### **4.3 Influence of Financial Sustainability on Implementation of Relief Projects in Humanitarian NGOs.**

Financial sustainability refers to resilience to economic shocks, financial viability, reduced, household vulnerability and increased capacity to cope with risk. It includes cost management and income activities. The study therefore sought to investigate the influence of financial sustainability on implementation of relief projects in Humanitarian NGOs in Nairobi County. The specific parameters that were assessed included, if NGOs conducted feasibility study prior to implementation of relief projects, the percentage of project budget spent on feasibility study in the current planning period, percentage of project budget raised through self-generated means, percentages of project budget set aside for contingencies/risk management .Respondents were also required to state factors that contribute to or detract long term impact of their projects.

#### **4.3.1 Feasibility studies prior to project implementation**

Feasibility study is an effective way to safeguard wastage of investment resources. By conducting a proper feasibility study, the target audience can be clearly identified. The process determines the viability of a business idea in a specific area or sector of business. The study sought to establish to whether humanitarian NGOs conduct feasibility studies

prior to implementation of relief projects and the results were as tabulated in table 4.13 below: From the table 4.13 below, the study found out that majority of the respondents 87.1% had conducted feasibility studies prior to project implementation which was supported by majority of key informants respondents while only 12.9% had not done feasibility studies prior to project implementation. It was concluded that feasibility study is an important aspect and should be done prior to any project implementation. One of the project managers noted:

*“ We do conduct feasibility study to majority of your project especially to projects that have never been done before atleast to have a feel of what to expect,however we rarely conduct the same on on-going projects ”.*

**Table 4.13: Whether there were feasibility studies prior to project**

**Implementation**

<b>Response</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	68	87.1
No	10	12.9
<b>Total</b>	<b>78</b>	<b>100.0</b>

**4.3.2 Proportion of project budget spent on feasibility studies**

After establishing whether humanitarian NGOs conducted feasibility studies, the study also sought to determine the percentage of project budget that NGOs spent on feasibility studies and the results were as tabulated in table 4.14 below: From table 4.14 below, the study found out that majority of the respondents 52.8% spent between 21 to 30 percent of

project budget on feasibility studies ,31.9% spent between 1 to 10 per of project budget on feasibility studies while 15.3% spent between 11 to 20 percent.

**Table 4.14: Proportion of project budget spent on feasibility studies**

<b>Proportion of budget spent</b>	<b>Frequency</b>	<b>Percentage</b>
1-10	23	29.4
11-20	11	14.2
21-30	38	48.7
<b>Total</b>	<b>72</b>	<b>100</b>

#### **4.3.3 Proportion of project budget raised through self-generated means**

Serving the poor may inhibit NGOs self-sustaining efforts, because the poor are often unable to contribute to costs of services. Consequently NGOs need to cross subsidize some services for the poor through revenues earned from profitable services. The study sought to establish the percentage of project budget raised through self-generated means /Income generating activities and the results were as tabulated in table 4.15 below: From the table 4.15 the study found out that majority of the respondents 48.7% generated between 15 to 40 percent of project budget from self-generated means, 29.4% generated between 0 to 4 percent, 14.2% generated between 41 to 80 percent while only 7.7% generated between 81 to 100 percent. It was therefore concluded that income generations and cost control were the two main paths of financial sustainability available to NGOs. As put across by one of the respondent:

*“ There is always a budget layout for every project we have in place.However, in some instances we run out of the resources and that is why we came up with other income generating activities.As per now, a good percentage of our project budget was raised through self generated means.”.*

**Table 4.15: Proportion of project budget raised through self-generated means**

<b>Proportion of budget spent%</b>	<b>Frequency</b>	<b>Percentage</b>
0-4	23	29.4
15-40	38	48.7
41-80	11	14.2
81-100	6	7.7
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.3.4 Proportion of Project Budget set aside for Contingency and Risk**

##### **Management**

Project managers should be able to test the economics of projects, set out contingency funds and ascertain if a project can withstand risks. The study sought to establish the percentage of project budget set aside for contingencies and risk management and the results were as tabulated in table 4.16 below: From the table 4.16 the study found out that majority of the respondents 50.1% set aside between 0 to 4 percent of project budget on contingency and risk management, 28.2% set aside between 15 to 40 percent, 12.8% set aside between 41 to 80 percent while 8.9% set aside between 81 to 100 percent.



**Table 4.16: Proportion of project budget set aside for contingency and risk**

**Management**

<b>Proportion of budget spent (%)</b>	<b>Frequency</b>	<b>Percentage</b>
0-4	39	50.1
15-40	22	28.2
41-80	10	12.8
81-100	7	8.9
<b>Total</b>	<b>78</b>	<b>100.0</b>

**4.3.5 Factors that contribute to long term impact of program interventions**

Sustainability ensures that institutions supported through projects and the benefits realized are maintained and continue after the end of projects. The study sought to establish factors that contribute to long term impact of projects and the results were as tabulated in table 4.17 below: From the table 4.17 the study found out that majority of the respondents 37.2% felt that technical sustainability contribute to or detract long term impact of projects, 21.7% felt political sustainability contribute to or detract long term impact of projects, 19.2% felt social sustainability contribute to or detract long term impact of projects, 14.3% felt economic and financial sustainability has an influence while only 7.6% felt institutional sustainability has an impact.

**Table 4.17: Factors that contribute to long term impact of project**

<b>Sustainability factor</b>	<b>Frequency</b>	<b>Percentage</b>
Political sustainability	17	21.7
Social sustainability	15	19.2
Institutional sustainability	6	7.6
Economic and financial	11	14.3
Technical sustainability	29	37.2
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.4 Influence of Regulatory Framework on Implementation of Relief Projects.**

NGOs are expected to fully comply with the provision of the NGOs Co-ordination Act of 1990 and its subsequent regulations of 1992. Further NGOs are required to comply with the provisions of the Income Tax Act cap 470 of the Laws of Kenya. The study therefore sought to investigate the influence of regulatory framework on implementation of relief projects in NGOs in Nairobi County. The specific parameters that were assessed included, Conversance with the NGOs Co-ordination Act of 1990 , whether or not respondents consider it adequate in provision of enabling environment ,whether respondent organizations had obtained PIN numbers and tax exemption certificates from the tax authorities. Respondents were also asked to give recommendations which could improve regulatory environment of humanitarian NGOs.

##### **4.4.1 Conversance with NGOs Co-ordination Act of 1990.**

NGOs are required to be conversant with the NGOs Co-ordination Act. The study sought to establish whether humanitarian NGOs are conversant with the Act and the results were

as tabulated in table 4.18 below: From the table 4.18 the study found out that majority of the respondents 91.1% are conversant with NGOs Co-ordination Act which was also indicated by majority of key informants while 8.9% were not conversant with the Act. Therefore it was concluded that majority of NGOs were conversant with the Act. As indicated by one of the key informants:

*“ We are conversant with the NGOs Co-ordination Act of 1990 and we are fully complying with the stated rules and regulations. We are also familiarising ourselves with the process of enactment of the Public Benefit Act”.*

**Table 4.18: Whether respondents are conversant with NGOs Co-ordination Act of 1990**

<b>Response</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	71	91.1
No	7	8.9
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.4.2 Adequacy of Act in enabling NGOs Activities.**

After establishing whether NGOs are conversant with the NGOs Co-ordination Act, the study also sought to determine whether NGOs consider it adequate in providing enabling environment and the results were as tabulated in table 4.19 below: From the table 4.19, the study found out that majority of the respondents 83.3% felt that the Act does not provide adequate enabling environment for NGOs activities while 16.7% felt that the Act

provides an enabling environment. The study therefore concludes that majority of NGOs felt that the act does not provide adequate enabling environment.

**Table 4.19: Whether the NGOs consider the Act adequate in providing enabling Environment.**

<b>Category</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	65	83.3
No	13	16.7
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.4.3 NGOs in Nairobi County with Tax PIN numbers**

The Income Tax Act cap 470 Laws of Kenya requires NGOs to have PIN numbers from Kenya Revenue Authority. The NGOs Act on the other hand requires that NGOs fully comply with the Income Tax Act. The study sought to investigate whether NGOs in Nairobi County had obtained the PIN numbers as required by law and the results were as tabulated in table 4.20 below: From the table 4.20 below, the study found out that majority of the respondents 92.4% had obtained PIN numbers for their organization from Kenya Revenue Authority which was also represented by majority of the key informants who indicated that their organizations had obtained PIN numbers while only 7.6% did not have PIN numbers. The study therefore concludes that most NGOs in Nairobi County comply with Income Tax Act Cap 470 Laws of Kenya. One of the chief executive officers noted that:

*“ Our organization does not have a PIN number as we speak but we applied for the same from Kenya Revenue Authority. However, the application process is long and i urge the Authority to reduce the number of documents to be submitted”.*

**Table 4.20: NGOs in Nairobi County with Tax PIN numbers**

<b>Category</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	72	92.4
No	6	7.6
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.4.4 Tax Exemption certificates**

After establishing whether NGOs had obtained PIN numbers, the study also sought to determine whether NGOs had obtained tax exemption certificates from Kenya Revenue Authority (KRA) and the results were as tabulated in table 4.21 below: From the table 4.21 below, the study found out that majority of the respondents 84.6% had not obtained tax exemption status while 15.6% had obtained. One of the project managers said:

*“ Currently we do not have a tax exemption certificate, not that we do not need it but the process of getting one is long and tiresome”.*

**Table 4.21: Whether NGOs had obtained Tax Exemption certificates from KRA**

<b>Response</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	66	84.6
No	12	15.4
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.5 Influence of Stakeholders Involvement in Implementation of Relief Projects.**

The selection of communities and stakeholders to be involved in relief projects is quite critical. Humanitarian NGO agencies incorporate groups with positive attitude towards their projects. The fact that participation depends on many variables at the community level and that its practice is intimately linked with exclusion and power confirms the need for an analysis on whether and how the structures of participatory projects secure the interests of community members. The study therefore sought to investigate the influence of stakeholder participation in implementation of relief projects in Humanitarian NGOs in Nairobi County. The specific parameters that were assessed included, whether respondents considered stakeholder and community participation an important aspect of project management and whether respondents had conducted community/stakeholder engagements prior to implementing projects. Respondents were also asked to give an opinion on what factors affect community participation in relief project management.

#### **4.5.1 Stakeholder participation an important aspect of relief project**

##### **Management**

Stakeholder participation in relief projects ensures that project managers avoid analysis of tensions created by politics and power. The stakeholder includes donors, the community, project consultants and the government. The study sought to establish whether respondents consider stakeholder participation an important aspect of project management. The results were as tabulated in table 4.22 below: From table 4.22, the study found out that majority of the respondents 75.6% consider stakeholder participation an important aspect of project management which was highly supported by key informants who argued that stakeholder participation is a very important aspect in relief project management while 24.4 percent do not consider it important. The study therefore concludes that majority of humanitarian NGOs in Nairobi County consider stakeholder participation an important aspect of project management. As indicated by one of the key informants:

*“ As a project manager, I have never heard of any project that succeeded without stakeholder involvement. Donors, government agencies and the community at large are very important in any implementation process. Some communities will not accept the project if they are not involved from the beginning”.*

**Table 4.22 Whether Stakeholder participation is an important aspect of relief**

**Project Management**

<b>Response</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	59	75.6
No	19	24.4
<b>Total</b>	<b>78</b>	<b>100.0</b>

**4.5.2: Community/stakeholder engagements**

After establishing whether respondents consider stakeholder participation an important aspect of project management, the study also sought to determine whether the respondents had conducted community/stakeholder engagements prior to implementing projects. The results were as tabulated in table 4.23 below: From table 4.23, the study found out that majority of the respondents 88.5% had conducted community/stakeholder engagements as also indicated by majority of key informants while 11.5% had not conducted community/stakeholder engagements. The study therefore concludes that majority of NGOs in Nairobi County conduct community/ stakeholder engagements prior to implementing projects. One of the respondents noted that:

*“ During the financial year 2013/2014, we had a new project in place and it was very necessary to carry out community/stakeholder engagement. The engagement contributed alot to the implementation status of the project”.*



**Table 4.23: Community/stakeholder**

<b>Category</b>	<b>Frequency</b>	<b>Percentage</b>
Yes	69	88.5
No	9	11.5
<b>Total</b>	<b>78</b>	<b>100.0</b>

#### **4.5.3 Factors that affect community participation in relief projects**

The study further sought to establish factors influencing community participation in relief projects and the results were as tabulated in table 4.24 below: From table 4.24, the study found out that majority of the respondents 30.7% were of the opinion that skills and knowledge influence community participation, 24.4% felt that education influence community participation ,21.8% felt that social and political marginalization influence community participation ,14.2% felt that cultural beliefs influence community participation while only 8.9% felt that gender influences community participation in relief project implementation. The study therefore concludes that majority of NGOs in Nairobi county feel that skills and knowledge influence community participation in project implementation.

**Table 4.24 Factors that affect community participation in relief projects**

<b>Factor</b>	<b>Frequency</b>	<b>Percentage</b>
Skills and knowledge	24	30.7
Education	19	24.4
Cultural beliefs	11	14.2
Gender	7	8.9
Social political marginalization	17	21.8
<b>Total</b>	<b>78</b>	<b>100.0</b>

## **CHAPTER FIVE: SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

### **5.1 Summary of Findings**

#### **5.1.0 Introduction**

This chapter presents the summary of findings, conclusion drawn from the results and the recommendations by the researcher. The main objective of this study was to determine the factors influencing implementation of relief projects in humanitarian NGOs in Nairobi County. The specific objectives were to determine how management influence implementation of relief projects in humanitarian NGO's in Nairobi County, to establish the extent to which financial sustainability influences implementation of relief projects in humanitarian NGO's in Nairobi County, to investigate how regulatory framework influences implementation of relief projects in humanitarian NGO's in Nairobi County and to assess the extent to which stakeholder involvement influences implementation of relief projects in humanitarian NGO's in Nairobi County. Recommendations and suggestions for further research were also made.

Relief project implementation is critical to the success of both small and big firms. The chances of a project succeeding can be increased if firms have an understanding of what the critical success factors are to systematically and quantitatively assess these critical variables, anticipating possible effects, and then choose appropriate methods of dealing with them. Therefore, for successful project implementation, the project management must have adequate project formulation, sound project organization, proper implementation plan, and advance action on certain activities, timely, availability of funds, better management and effective monitoring.

### **5.1.1 Influence of Management on Implementation of Relief Projects in NGOs.**

Majority of the respondents 80.8% consider strategic plans important tool in Project management in humanitarian NGOs while 19.2% did not consider strategic plans important tools of project management and it was concluded that most humanitarian NGOs consider strategic plans an important tool of Project management. On the response as to why humanitarian NGOs need strategic plans, 79.5% consider strategic plans as an important tool in management and is a donor requirement while 20.5% does not see its importance and only consider it a regulatory requirement document. Majority of the respondents 55.2% were of the opinion that NGO's partially comply with their strategic plans, 34.6% fully comply with strategic plans while 10.2% does not comply with strategic plans. This implies that most NGOs develop strategic plans because it is a donor requirement and accountability in NGOs is due to pressures from donors and rating agencies to meet externally established performance indicators.

Majority of the respondents 44.8% felt that the NGO's held only one meeting in a year, 28.3% held 2 meetings, 16.6% held 3 meetings, 6.5% held over 3 meetings in a year while only 3.8% held no meeting. It is important for any NGO organization to hold board meetings so as to discuss the progress of set projects. On accountability of the NGO's, 55.2% have accounting function, 29.5% have finance manuals, 11.5% have performance management systems while only 3.8% have Internal Audit functions and it was concluded that majority of NGOs have accounting functions in place. From the study majority of the respondents indicated that 57.6% conduct audit because it is a Donor requirement, 28.2% conduct audits because it is a government requirement while 14.2% conduct audits because it is their organization policy to conduct financial audits. The

studies therefore concluded that majority of NGOs conduct financial audits because it is a Donor requirement hence Humanitarian NGOs accountability focus on Donors whom they are accountable on financial management.

### **5.1.2 Influence of Financial Sustainability on Implementation of Relief Projects in Humanitarian NGOs.**

From the study, majority of the respondents 87.1% said the NGO's had conducted feasibility studies prior to project implementation while only 12.9% had not done feasibility studies prior to project implementation. Feasibility study is an important aspect and should be done prior to any project implementation. Majority of the respondents 48.7% indicated that funds generated from self means were between 15 to 40 percent of project budget, 29.4% generated between 0 to 15 percent, 14.2% generated between 40 to 80 percent while only 7.7% generated between 80 to 100 percent. It was therefore concluded that income generations and cost control were the two main paths of financial sustainability available to NGOs. It was found out that majority of the respondents 37.2% feel that technical sustainability contribute to or detract long term impact of projects, 21.7% feel political sustainability contribute to or detract long term impact of projects, 19.2% feel social sustainability contribute to or detract long term impact of projects, 14.3% feel economic and financial sustainability has an influence while only 7.6% feel institutional sustainability has an impact.

### **5.1.3 Influence of Regulatory Framework on Implementation of Relief Projects.**

On whether humanitarian NGOs are conversant with the NGOs Act, majority of the respondents 91.1% were to the opinion that the NGO's are conversant with NGOs Co-

ordination Act while 8.9% were not conversant with the Act. Therefore it was concluded that majority of NGOs were conversant with the Act. The study found out that majority of the respondents 83.3% felt that the Act does not provide adequate enabling environment for NGOs activities while 16.7% felt that the Act provides an enabling environment. The study concluded that majority of NGOs felt that the act does not provide adequate enabling environment. The study further established that majority of the respondents 92.4% had obtained PIN numbers for their organization from Kenya Revenue Authority which was also represented by majority of the key informants who indicated that their organizations had obtained PIN numbers while only 7.6% did not have PIN numbers. The study concluded that most NGOs in Nairobi County comply with Income Tax Act Cap 470 Laws of Kenya. It was also found out that majority of the respondents 84.6% had not obtained tax exemption status while 15.6% had obtained.

#### **5.1.4 Stakeholder Participation as an important aspect of Relief Project**

##### **Management**

Majority of the respondents 75.6% consider stakeholder participation an important aspect of project management while 24.4 percent do not consider it important. The study therefore concluded that majority of NGOs in Nairobi County consider stakeholder participation an important aspect of project management. Majority of the respondents 88.5% indicated that the NGOs had conducted community/stakeholder engagements while 11.5% had not conducted community/stakeholder engagements. From the study, it was found out that majority of the respondents 30.7% were of the opinion that skills and knowledge influence community participation, 24.4% felt that education influence community participation, 21.8% felt that social and political marginalization influence

community participation, 14.2% felt that cultural beliefs influence community participation while only 8.9% felt that gender influences community participation in relief project management. The study therefore concludes that majority of NGOs in Nairobi county feel that skills and knowledge influence community participation in project management and implementation.

## **5.2 Conclusions**

On the basis of the findings of the study, the following conclusions are made on the four independent variable on factors influencing implementation of relief projects in humanitarian Non –Governmental organizations in Nairobi County. Management has an influence on implementation of relief projects in NGOs. NGOs that utilize management such as strategic plans have high level of project implementation status as opposed to those that do not have strategic plans. The study further established that NGOs in Nairobi County had accountability systems in place; however the systems were put in place because of external pressure from donors.

The study also established that NGOs that were financial sustainable had alternative sources of income as compared to those that did not have self-generated incomes. The study further established that NGOs that were aware of the regulatory framework had higher project implementation status than those that were not aware. Further, those NGOs that had complied with the provisions of the Income Tax Act Cap 470 Laws of Kenya by obtaining PIN numbers from the revenue authority were found to have higher project implementation status. However it was also established that majority of NGOs in Nairobi County had not obtained tax exemption certificates. It was also established that NGOs

that were conversance with the NGOs Co-ordination Act had higher project implementation status than those that were not aware. It was also found out that stakeholder participation improves project implementation status in NGOs in Nairobi County. The study also established that majority of NGOs in Nairobi County involve communities in project management through stakeholder engagements. It was also established that majority of NGOs in Nairobi county feel that skills and knowledge influence community participation in project management.

### **5.3 Recommendations**

#### **5.3.1 Policy Recommendations**

##### **Accountability Systems**

Humanitarian NGOs should be encouraged to establish accountability systems such as finance manuals, performance management systems and accounting functions. NGOs should institutionalize accountability in their organization policies and not only consider it a donor requirement.

##### **Financial Sustainability**

Humanitarian NGOs should also be encouraged to put in place financial sustainability measures by establishing alternate sources of incomes.

##### **Legal and Regulatory Framework**

It is recommended that the Government should raise awareness on legal and regulatory framework among Humanitarian NGOs and put in place measures to ensure all Humanitarian NGOs obtain PIN numbers and tax exemption certificates from the revenue authority.



### **Stakeholder Involvement**

Humanitarian NGOs should be encouraged to hold stakeholder meetings with project beneficiaries as this improves project implementation status in NGOs. The Government through the NGOs Co-ordination Board should put in place regulation that requires Humanitarian NGOs to have strategic plans and accountability structures as soon as they are registered. The Government should identify the specific areas of weakness and address it through proper legislation.

### **5.3.2 Suggestions for Further Research**

The following suggestions are offered for future research as a result of the findings.

Other factors that influence implementation of relief project in humanitarian NGOs other than the four identified in the study could also be studied. This includes a factor like donor financing.

The study was limited to Nairobi County .Future studies on the same topic could be extended to other parts of Kenya.

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## **APPENDIX I: INTRODUCTORY LETTER FOR HEADS OF NGOS**

My name is Josephine Nabalayo Wanjala a student at University of Nairobi in the department of Sociology. I am undertaking a Master's Degree Course in Sociology (Advanced Disaster Management). I am undertaking a research to get to know the Factors Influencing Implementation of Relief Projects in Humanitarian NGOs in Nairobi County, Kenya. The questions in this questionnaire will go a long way in adding value in the area of study. I am hereby requesting you to spare a few minutes to give your input. Everything gathered from the questionnaire will be for the purpose of the study and there will be no mention of names in order to conceal the identity of the respondent. Thank you.

## Appendix II: QUESTIONNAIRE FOR HEADS OF NGOS IN NAIROBI COUNTY

**Instructions:** Please tick {✓} as appropriate or fill the blank spaces.

### Section One

#### Background Information

1) Between which years was your NGO registered?

1992-1997  1998-2003  2004-2008  2009-2012

Others (specify).....

2) What is your Level of education?

PhD       Masters       Bachelor's degree       Diploma

Secondary

Others, please specify.....

3) Please indicate your Age Bracket.

20-30 years       31-40 years       41-50years       over 50 years

4) What is your Gender?    Male       Female

**Section Two**

**Management and Implementation of Relief Projects.**

5). Do you consider a strategic plan an important tool in Relief Project management?

Yes [ ]

No [ ]

6). In your opinion, why should Humanitarian NGOs have strategic plans?

[ ] It is a donor requirement. [ ] It is a regulatory requirement [ ]

Others, (please specify).....

7). Does your organization adhere to the strategic plan in project implementation?

Fully comply [ ] partially comply [ ] does not comply [ ]

8) What percentage of your project budget did you spent on your current strategic plan?

A. 0-20 [ ] B. 21-30 [ ] C. Over 30 [ ] D. don't Know [ ]

9) What is the average number of Board meetings that your organization holds in a year?

A. None [ ] B. 1 [ ] C. 2 [ ] D. 3 [ ] E. Over 3 [ ]

10) Do you have any of the following systems in place? (Tick if yes)

A. Internal Audit [ ] B. Finance Manuals [ ] C. Accounting functions [ ]

D. Performance management system [ ].



11) What motivates Humanitarian NGOs to conduct annual financial audits?

A.  Donor requirement  B. Government requirement C.  organizations policies.

**Section Three**

**Financial Sustainability and Implementation of Relief projects.**

12) Did your organization conduct a feasibility study prior to implementation of the relief project/program?

Yes  No

13). If the answer to 12 above is yes, what percentage of your project budget was spent on the feasibility study in the current planning period?

.....

14) Estimate the percentage of your project budget your organization raised through self-generated means in the current planning period?

A. 0-4  B.15-40  C .41-80 D 81-100

15). Estimate the percentage of your project budget set aside for contingencies and risk management?

A. 0-4  B.15-40  C .41-80 D 81-100

16) What percentage of your target population are benefitting from the project /program?

A. 0-15 [ ] B.15-40 [ ] C .40-80[ ] D 80-100 [ ]

17). Which of the following factors do you think contributes to long term impact of your program interventions?

A. [ ] Political sustainability B [ ] Social sustainability C [ ] Institutional sustainability  
D [ ] Economic and financial sustainability E [ ] Technical sustainability.

#### **Section Four**

##### **Regulatory Framework and Implementation of Relief projects.**

18) Are you conversant with the NGOs Co-ordination Act of 1990?

Yes [ ] No [ ]

19) Do you consider it adequate in enabling your activities?

Yes [ ] No [ ]

20) Does your organization have a PIN number from Kenya Revenue Authority?

Yes [ ] No [ ]

21) Have you obtained a tax exemption certificate from Kenya Revenue Authority?

Yes [ ] No [ ]

22) Give two recommendations which can improve regulatory environment for humanitarian NGOs in Kenya.

.....

**Section Five**

**The Stakeholders Involvement in Implementation of Relief projects.**

23). Do you consider stakeholder participation as an important aspect of relief project management?

Yes [ ] No [ ]

24). Did your organization conduct community/stakeholder engagements during the current relief project implementation period?

Yes [ ] No [ ]

25). In your opinion, what factors affect community participation in implementation of relief projects?

[ ] Skills and Knowledge [ ] Education [ ] Cultural beliefs [ ] Gender [ ]  
Social and political marginalization.

**Thank you for taking time to respond to the Questions**

### **APPENDIX III: KEY INFORMANT INTERVIEW GUIDE**

My name is Josephine Nabalayo Wanjala, a student at University of Nairobi in the department of Sociology. I am undertaking a research in order to establish the factors influencing implementation of relief projects in Humanitarian Non-Governmental organizations in Nairobi County. The questions in this questionnaire will go a long way in adding value to the Area of study. I am hereby requesting you to spare a few minutes to give your input. Everything gathered from the questionnaire will be for the purpose of the study and there will be no mention of names in order to conceal the identity of the respondents.

Thank you. Let me now proceed to ask you the questions.

1. What are the factors that influence implementation of relief projects in Nairobi County
2. What do you understand by the term strategic plan
3. Does your organization adhere to the strategic plan in project implementation
4. Why should Humanitarian NGOs have strategic plans
5. Does your organization conduct feasibility study prior to implementation of relief projects
6. What percentage of your target population are benefitting from the project
7. Do you have a budget layout for every project your organization undertakes
8. Are you conversant with the NGOs Co-ordination Act of 1990
9. Does your organization have a PIN number from Kenya Revenue Authority
10. Suggest recommendations which can improve regulatory environment for humanitarian NGOs in Kenya.

11. Do you consider stakeholder participation an important aspect of relief project management
12. Did your organization conduct community/stakeholder engagements during the current relief project implementation period