

**THE ASSESSEMENT OF IMPLEMENTION OF MONITORING SYSTEMS IN
SETTLEMENTS UPGRADING PROJECTS: THE CASE OF KENYA INFORMAL
SETTLEMENT IMPROVEMENT PROJECT (KISIP) IN MUNYAKA,
UASIN GISHU COUNTY, KENYA**

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DECLARATION

This research project is my original work and has not been presented for an academic award in any other university.

Signed Date

Dennis Nyarangi Gesuge

Supervisors

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

Sign Date

Dr. Emmanuel Midheme

DEDICATION

I dedicate this project to Almighty God for is awesomeness, to my friend and companion Dinah in this way of life and my children, Denzel , Donnah and Deuel

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God bless you all.

ABSTRACT

Globally, it is estimated that 70 million new residents get added to urban areas of the developing countries each year. In the next two decades, the urban population of the world's two poorest regions, South Asia and Sub-Saharan Africa, is expected to double, suggesting that informal settlements dwellers in these regions will dramatically grow. In 2011, the Kenyan Government rolled out the Kenyan Informal Settlement Improvement Project (KISIP) to address the living conditions in the county's informal settlements. Despite huge financial investments and community efforts directed at improving the living conditions in the settlements, it is not clear if the project design included an explicit M&E system to begin with and more fundamentally, it is not clear how the M&E system was implemented on the ground. This study aimed at carrying out an analysis of the implementation of monitoring systems in settlement upgrading by KISIP in Munyaka, Eldoret town. Thus, the main objective of the study was to undertake the assessment of the implementation of monitoring system in settlements upgrading projects: the case of Kenya informal settlement improvement project in Munyaka, Uasin Gishu County Kenya. The specific objectives were to evaluate how human resource capability influences implementation of monitoring of projects; examine how budgetary allocation influences implementation of monitoring of projects; and assess how stakeholder participation influences implementation of monitoring systems in settlements upgrading projects. Stakeholder Theory and theory of planned behavior anchored the study. The study utilized a descriptive research design to target 137 respondents including project management staff working for the Kenyan Informal Settlement Improvement Project in Munyaka and small business owners, household heads and religious leaders who are direct beneficiaries of the KISIP project and who have lived in Munyaka for 10 years or longer. Purposeful selection was used to get one national and five county KISIP project implementers while simple random sampling was used to get 110 adult direct beneficiaries (households, small business traders and religious leaders) of KISIP. Primary data was collected using questionnaires and interview schedules, while secondary data was collected using documentary checklist. To determine the reliability of research instruments, Cronbach Coefficient alpha was used, and a reliable figure of 0.713 realized. To determine content validity of the instruments, the research supervisor appraised the content of the instruments and counseled the researcher appropriately. Quantitative data was analyzed using descriptive analysis in the form of counts and percentages while qualitative data from interviews and documents were analyzed using thematic analysis. The results revealed that there was relatively low human resource capability, budgetary allocation and stakeholder participation which had a negative influence on the implementation of monitoring systems in the KISIP project in Munyaka. The study thus recommends that the KISIP project management should invest in training and capacity building of its staff in monitoring and evaluation. They should do this through seminars and in-service training sessions. The KISIP project management should also perform resource mobilization to acquire financial resources that would support monitoring of projects. The project management should also devise an inclusion policy that would enhance effective stakeholder participation in project monitoring. Further, the residents themselves should proactively demand for participation as that is their legal right. The government should come up with tactful and elaborate strategies that checks corruption and one that ensures that the government-based projects are completed on time, within cost and with top quality finish.

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LIST OF ABBREVIATIONS/ACRONYMS

CDF	:	Constituency Development Fund
CIDP	:	County Integrated Development Plan
CIMES	:	County Integrated Monitoring System
M&E	:	Monitoring and Evaluation
NGOs	:	Non-Governmental Organizations
OECD	:	The Organisation for Economic Co-operation and Development
TPB	:	Theory of Planned Behaviour
TRA	:	Theory of Reasoned Action

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CHAPTER ONE

INTRODUCTION

1.1 Background of the study

This Chapter provides background information on the proposed study. It offers a statement of the problem, states the main and specific objectives of the study, and gives the research questions that this study seeks to find answers to. In addition, this section discusses the significance, the scope and limitations and of the study.

According to Dyason (2010), monitoring is the unceasing and continuous collection and systematic analysis of information in relation to a project, program or intervention. On the other hand, the author defines evaluation as the process of assessment that hinges almost solely on answering given questions about an intervention or program or project. Mulwa and Nguluu (2013) on their part define monitoring as the continuous process of gathering information about a project while at the same time considering the level and nature of the evaluation process. Williams (2010) notes that monitoring is an unending occupation that makes use of the systematic collection of information regarding specific measurements of projects. He summarily describes monitoring (M&E) as a process that helps M&E personnel and project managers to improve project outcomes and goals.

The definitions adduced above describe a monitoring process that should not stop and one that significantly is premised on target setting and planning activities in all the phases of a project. Also, monitoring carries with it certain benefits like tracking operations, benchmarking performance and counterchecking if they meet set schedules. It also acts as a perfect platform from which evaluation of the projects would start (Mulwa and Nguluu, 2013). The aspect of evaluation aids in the discovery of the much-needed resources and the capacity of the said resources to meet the demands of the project from initiation to completion. Thus, Goyder, (2012) defines evaluation as the consideration of the outcome and result indices that characterize a particular project. Kusek (2010) on his part notes that evaluation is an episodic but consistent calculation of the change in a project via observation of the selected and appropriate legal procedures in comparison to the interventions inherent in a project.

M&E implementation in scholarly circles has largely been measured by considering time, the cost incurred, the satisfaction of customers, health and safety and quality (Cheung et al. 2013; Dissanayaka and Kumaraswamy, 2015; Iyer and Jha, 2015). However, according to Cheung et al.

(2013), quality, time and cost have for a long time been considered the most essential and prevalent measurements. Contrariwise, Pheng and Chuan, (2015) assert that monitoring can be measured after considering the construct in phases of common indices. They thus identify the first phase to be that of users, owners, general public and stakeholders- persons who interact with the project on a macro-level. Then there is the second phase that looks at the developer and the contractor- persons who look at the M&E implementation in micro platform and who are affected by certain project characteristics like time, cost and quality. Dissanayaka and Kumaraswamy, (2015) note that there are certain factors that have an impact on time, cost and quality. They see these as being client satisfaction, project manager, human resource capability, environmental conditions, leadership skills, top management support and coordination, among others.

Globally, developed nations like the USA, Canada, Russia and China through their robust decentralization of resources have devised stringent and creative monitoring procedures and indices (Lahey, 2012). The trickling down of adequate budgetary resources to local governments within these countries has also enabled the process of institutionalization of monitoring and evaluation. This has created a platform where M&E systems are carefully monitored and examined using the results-based M&E system. The system allows for effective mechanism of tracking all projects in a systematic manner, leaving few loopholes for unscrupulous persons and unscheduled projects.

A country like Canada has created an M&E that is finely tuned and robust that it has created a 'monitoring culture' among the players. This culture is premised on results-based orientation and accountability of managers to a project. According to Lahey (2012), Canada has realized over time that to succeed in initiating and implementing M&E, there is need to look at the process as both iterative and long-term and to devise mechanisms that progress the development of M&E and not one that seeks to countermand it.

The African situation, particularly as it relates to monitoring and evaluation, is considered a complex one (Benington and Moore, 2011; Gladys, 2010; OECD, 2015). Benington and Moore, (2011) argue that the political landscape in Africa has largely stifled the advancement of monitoring due to the presence of corruption that is characterized by short-cuts and kickbacks. Gladys (2010), on her part, notes that Africa and countries like Kenya have shown unbending bureaucratic processes which have curtailed the progress of monitoring and evaluation. The

OECD (2015) also notes that for monitoring to work in Africa, there would be a need for a change of focus that seeks to improve on the institutional, specialized and operational imperatives of monitoring but also one that changes the culture from unprofessionalism to one of effective scheduling, planning, funding and monitoring of projects; like what has been happening in Ghana (Clear, 2012).

In Kenya, in recognition of the pivotal role of monitoring in development and service delivery, The Ministry of Devolution and Planning developed guidelines for the County Integrated Monitoring System (CIMES). According to the Ministry of Devolution and Planning (2016), CIMES verifies whether the activities of each county's priority projects or programmes are happening according to planned timelines and targets presented in the County Integrated Development Plan (CIDP), and whether resources are being used in a correct and efficient manner. The CIMES handbook further notes that the draft M&E policy and draft M&E framework, which are crucial to formalization of the M&E structures that are being established, have not yet been finalized. However, there is need to find out what factors influence the implementation of M&E for various sorts of projects, including settlement upgrading projects such as those under KISIP.

Dissanayaka and Kumaraswamy (2015) mentioned that over the world, there are certain factors or determinants that influence implementation of monitoring of projects. They mentioned human resource capability, stakeholder attitude and participation, budgetary allocation, leadership style, organizational culture and structure and technological innovation as factors that impact on monitoring and evaluation. Benington and Moore (2011) notes that these salient features, when effectively implemented, help M&E. Nevertheless, in developing countries like Kenya, these aspects are often ineffectively utilized thus leading to stifled and unproductive monitoring systems.

Human resource capability has been described by Vanessa and Gala (2011) as the technical capacity of the organization in conducting monitoring, the value and participation of its human resources in the policymaking procedure and their incentive to impact resolutions. Further, their capability is dependent on the fact that human capital should be given clear job allocation and fitting designation according to the unique skills of the staff (Emeti, 2015). In case of the skill being insufficient, then training for the necessary human resource capability should be implemented. For projects using staff that is referred out in the field to carry out project activities

on their own, there is need for constant and intensive onsite support to the field staff (Emeti, 2015; Vanessa & Gala, 2011).

Budgetary allocation on the other hand is the financial resources that are made available to ensure that monitoring and evaluation implementation succeeds (Lemarleni, 2017). Scholars like Klingebiel and Rammer (2011) have demonstrated that the success or effectiveness of M&E implementation is largely dependent on the finances allocated and used. Stakeholder participation is about the level of valid participation and involvement in decision making. Adan (2012) has noted that if performance of any operational indicator is to succeed, then stakeholder participation must be considered. He also noted that often the general public were never involved in the initiation and implementation of the process, so much so that often the implementation always ran into problems of lack of buy-in.

The present study investigates the implementation of monitoring systems in settlements upgrading projects and especially the Kenyan Informal Settlement Improvement Project in Munyaka settlement, Uasin Gishu County, Kenya. This is because firstly, massive resources and projects have both been invested and yet the projects appear not to have been completed on time, as per the intended quality and at accepted customer satisfaction. Could it be that stakeholder attitude, budgetary allocation and human resource capability are the main reasons for the poor M&E implementation, considering that several studies have noted that the three are often the reasons for good or poor monitoring implementation (Dissanayaka & Kumaraswamy, 2015; Benington & Moore, 2011; Gladys, 2010; OECD, 2015)? Secondly, since the inception of settlement upgrading in county governments, a lot of financial resources have been spent, coupled with changes in stakeholder participation law, but few academic studies have looked at the extent to which these indicators have influenced the implementation of monitoring of projects. Further, Munyaka as the area of study has been selected because out of the other two locations in Eldoret, Huruma and Hill school, the Munyaka project is still lagging behind schedule with no tangible explanation given. This study will therefore shed some light in this regard.

1.2 Statement of the Problem

In 2009, an estimated 39 percent of the Kenyan population lived in urban areas (about 15.2 million people) and of them, more than half (54.8 percent) lived in informal settlements totaling 8.3 million. Features of these informal settlements include constrained access to water and

sanitation, tenure insecurity, inaccessibility, poor lighting and extensive flooding. Weak institutional capacity and lack of policy frameworks and guidelines at the county and urban level further exacerbate the challenge of informal settlements.

Since the inception of the KISIP Project in Munyaka in 2011 to transform targeted informal settlements into sustainable urban neighborhoods, significant financial resources have been injected into the project. However, there is need to consider the challenges that confront implementation of monitoring systems, particularly in settlement upgrading projects where massive resources and projects have both been injected because the projects appear not to have been completed on time, as per the intended quality and at accepted levels of customer satisfaction based on preliminary assessment by the researcher. Further, despite huge financial investments and community efforts directed at improving the living conditions in the settlement, it is still unclear whether the project design included an explicit monitoring system to begin with, and if so, how this actually got implemented on the ground. Further, it is also unclear whether the projects have so far been within the scheduled time, as per the intended quality and at accepted level of customer satisfaction. This is the motivation for the present study: the assessment of implementation of monitoring systems in settlements upgrading projects: the case of Kenyan Informal Settlement Improvement Project in Munyaka, Uasin Gishu County, Kenya.

1.3 Objectives of the study

1.3.1 Main Objective

The main objective of the study was to undertake the assessment of implementation of monitoring systems in settlements upgrading projects: the case of Kenyan Informal Settlement Improvement Project in Munyaka, Uasin Gishu County, Kenya

1.3.2 Specific Objectives of the Study

The study was set to achieve the following specific objectives:

- i. To evaluate how human resource capability influences implementation of monitoring systems in the KISIP project in Munyaka.
- ii. To examine how budgetary allocation influences implementation of monitoring systems in the KISIP project in Munyaka.
- iii. To assess how stakeholder participation influences implementation of monitoring systems in the KISIP project in Munyaka.
- iv.

1.4 Research Questions

- i. How does human resource capability influence implementation of monitoring systems in the KISIP project in Munyaka?
- ii. How does budgetary allocation influence implementation of monitoring systems in the KISIP project in Munyaka?
- iii. How does stakeholder participation influence implementation of monitoring systems in the KISIP project in Munyaka?

1.5 Significance of the Study

This study will be of significance to a number of M&E information users, including the KISIP project managers, M&E strategy executors, government agencies and funding partners. The managers and M&E strategy executors may benefit from the study with respect to their commitment and approaches to implementing M&E, while government agencies such as the Efficiency Monitoring Unit (EMU), Vision 2030 Secretariat and auditors will easily access the information to aid decision-making. The funding agencies on the other hand will be enabled to determine the efficiency with which their funds are converted into outputs. Finally, the study's findings will induce a renewed dimension of M&E by the authorities to the public through anticipated enhancement of internal efficiency in future projects.

1.6 Scope of the Study

The study was limited to the analysis of the implementation of monitoring systems in KISIP project in Munyaka. Specific investigations were pegged on stakeholder participation, budgetary allocation and human resource capability as predictor variables for implementation of project monitoring. Geographically, the study's scope covered Munyaka settlement in Eldoret town. The study's units of analysis were the KISIP project management staff and beneficiary households of the KISIP project who had lived in Munyaka for 10 years or longer. Relevant data was particularly collected from KISIP departmental heads and management staff, as well as households in Munyaka.

1.7 Limitations of the Study

Many of the household heads were not available during the day. This was because they were out busy in their economic activities to earn their day to day livelihoods. This challenge was resolved by engaging the respondents in the evenings and over the weekends when they were more likely to be available at home.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This Chapter presents a review of literature and the critical features covered comprise of conceptual framework, theoretical reviews, empirical reviews and summary of existing research gaps to be filled by the present study.

2.2 Empirical Review of Literature

2.2.1 Human resource capability in the implementation of monitoring systems

Vanessa and Gala, (2011) in their descriptive review on human resource capability in M&E in the Swedish public service found out two things. First, they noted that the technical capacity of the organization in conducting monitoring, the value and participation of its human resources in the policymaking procedure, their incentive to impact resolutions, all can be enormous determinants of how monitoring lessons are made, conversed and perceived. The second finding was that human capital should be given clear job allocation and fitting designation according to the unique skills of the staff. In case of the skill being insufficient, then training for the necessary human resource capability should be implemented. For projects using staff that are referred out in the field to carry out project activities on their own, there is need for constant and intensive onsite support to the field staff.

Jones et al, (2012) noted that in order to carry out monitoring efficiently, there are some critical factors that need to be taken into account. These comprise use of pertinent skills, sound methods, adequate resources and accountability and quality standards. Others include competent personnel and financial resources.

Similarly, Sharma et al (2013) found that human resource capability is important for any organization, even those that are struggling in terms of profitability, return on assets and equity and those that are emerging in terms of startups or rebranding. That being said, the authors found out that human resource capability was not very well integrated to M&E strategies but more often an operational element to equip staff for better work. What this did according to Sharma et al (2013) was deny the staff a positive attitude and appreciation of training as an M&E planning element that would not only equip staff for better service but make them ready in case of any monitoring engagement.

Stahl et al (2012) also presented six principles that make organizations succeed in a monitoring management framework or context. Their study was both quantitative and qualitative and is considered a useful reference work when analyzing monitoring implementation and its determinants in organizations. That study particularly noted that human resource capability ranks highest among the constructs that explain the whole concept of monitoring implementation. Other constructs identified by Stahl et al (2013) were talent attraction, retention, assimilation and career management and progression practices. The study then ascribes significance to the positive influence of human resource capability on performance, both financial and nonfinancial. Comparatively, they noted that all the companies reviewed showed a proportionate positive performance to efficient training, talent attraction and retention. Thus, those that did not employ these monitoring elements effectively also suffered poor returns, and vice versa.

Amadi, (2014) found that human resource capability development is very important in the enhancement of organizational goals and overall monitoring implementation. He argued that a training method that was encompassing and all-inclusive worked better in organizations. However, how such human resource capability development affects monitoring implementation was not covered by this study and hence a gap that the present study will help to bridge.

Emeti (2015) appraised the components of human resource capability and staff growth as it consequently related to monitoring implementation of paint manufacturing companies in Rivers State, Nigeria. Based on the study findings, paint manufacturing companies that heavily invested in human resource capability development performed better financially. Secondly, the human resource capability helped to build up support and employee satisfaction, which in turn helped to improve employee productivity. The study measured performance using financial aspects of profitability together with return on investment and assets. The current study will however try to link human resource capability with monitoring implementation.

Khan, et al, (2011) found that there was a lack of synchronization between human resource capability design, delivery style and training method and this hampered organizational performance. The study recommended robust training mechanism for organizational performance but did not touch on human resource capability and its influence on monitoring implementation.

The key issue that comes out of this review is that human resource capability does influence the implementation of monitoring systems. However, the reviewed studies have mainly studied projects in developed countries and not developing countries like Kenya, which tend to have different socio-economic characteristics and hence the need for this study. In this study the researcher will be looking at how human resource capability influences implementation of monitoring systems in the KISIP project in Munyaka.

2.2.2 Budgetary allocation in the implementation of monitoring systems

Klingebiel and Rammer (2011) demonstrated empirically that the choice of resource allocation strategy affects monitoring implementation. The study further established that a policy of allocating resources to a broader range of projects increases sales of new products, especially if these are truly novel, that is new to the market. The effect of greater breadth appears to outweigh that of increased resource allocation per project. They found further indication that the performance effect of breadth increases with commercial uncertainty. It is also stronger for firms that allocate resources more selectively at later stages of the innovation process. However, how budgetary allocation has been used as a factor and how this has influenced monitoring implementation remains largely uninvestigated.

Harris (2014) study was an examination of staff perceptions of the effect of budgetary allocation on school M&E achievement in an urban setting. This study followed a qualitative design using interview protocols with open-ended questions. Results indicated that resource allocation plays a big role in enacting significant changes on tasks and yet the influence of budgetary allocation on monitoring remains uninvestigated.

Lemarleni (2017) study was to assess the effects of budgetary allocation on monitoring implementation at the Kenya Police Service. Findings indicated that there existed both positive and significant correlations between the predictor (budgetary allocation) and dependent variables (M&E). Strongest and positive correlations were obtained between budgetary allocation in general, followed by financial resource and strategy resource. Technological resource and human resources also registered strong and positive correlations. The study however concluded that there was no significant moderating effect of budgetary allocation on monitoring implementation.

The key issue that comes out of this review is that budgetary allocation has a significant influence on implementation of monitoring systems. In this study the researcher will be looking at how budgetary allocation influences implementation of monitoring systems in the KISIP project in Munyaka, Eldoret.

2.2.3 Stakeholder participation and the implementation of monitoring systems

Empirical studies that have been done in this regard include Adan (2012). In this study, Adan noted that if performance of any operational indicator is to succeed, then stakeholder participation must be considered. He also noted that often the general publics were never involved in the initiation and implementation of the process, so much so that often the implementation always ran into problems of lack of buy-in. The study did not however look specifically at stakeholder participation and its influence on monitoring implementation as the present study seeks to do.

Onchoke (2013) did a descriptive study on stakeholder factors influencing performance of community development projects in Kenya. The study found out that there was need to involve the stakeholders from the beginning and that this participation had a positive correlation with the performance of community projects. However, while these findings are important, there is need to examine the link between stakeholder participation and monitoring in the execution of public projects.

Ondieki (2011) did a case study on factors influencing stakeholders' participation in monitoring of Local Authority Transfer Fund project in Kisii County. The study noted that in the end stakeholder participation enabled efficient monitoring in the long-run. The study also noted that participation must be structured and meaningful if it is to have the desired impact and that often due to absence of these factors, monitoring implementation often failed. The study did not however look at an elaborate measure of participation that includes levels of participation, frequency of participation and nature of participation; measures that will be used in the present study.

Baroudi et al (2015) did an empirical study of the impact of user involvement on system usage and information satisfaction. They found that user involvement in formation system development was generally an important mechanism for improving system quality and ensuring successful system implementation. The results demonstrated that user involvement through conferences in

the development of information systems enhanced both system usage and the user satisfaction with the system. Further, the study provides evidence that user satisfaction with the system leads to greater system usage.

The key issue that comes out of this review is that stakeholder participation has a significant influence on implementation of monitoring systems. In this study, the researcher will therefore be looking at how stakeholder participation influences implementation of monitoring systems in the KISIP project in Munyaka, Eldoret.

2.3 Theoretical Framework

Two theories are used to elucidate the main ideas and concepts of the present study. The two anchor theories are the theory of planned behavior and stakeholder's theory. Both theories are applicable to factors influencing monitoring implementation.

2.3.1 Theory of planned behavior

This study will be based on the theory of planned behavior as propagated by Ajzen (1991). Ajzen (1991) defines the Theory of Planned Behavior (TPB) as that attitude on the way to creating a behavior, and subjective norms, coupled with perceived control, that taken together profile an individual's behavioral intents and behaviors. TPB is basically an extension of the theory of reasoned action (TRA) that considers a person or group of persons and what reasons they make to accrue in a bid to finally make a decision that then shapes a behavior or action. The TPB extension is characterized by accumulation of perceived behavioral controls to the model, that comprise of attitude, subjective norms, behavioral intention, together with actual behavior (Madden, Ellen, & Ajzen, 1992; Yi et al., 2015). TRA is thus a model for the forecast of behavioral intention, straddling predictions of attitude and forecasts of behavior.

The theory developed originally from the theory of reasoned action postulated by Markus (1986), which looks at why a behavior is enacted as a response to whatever stimuli. In this case, the theory will be useful in looking at why a manager, for management of performance appraisal, and employee for knowledge and skills, would change their behavior and under what stimuli. In this case, the factors involved in performance appraisal for better employee productivity, would force that change. However, TRA is considered inadequate in scope as it only deals with stimuli projection, ignoring rational planning by an individual to change behavior, hence the progression to Ajzen's theory of planned behavior which now adds the rational planning angle. TPB and

TRA are relevant to this study because one of the basic tenets for effective monitoring is to somewhat control the monitoring personnel and managers' behavior and largely predict what behavior, whether through human resource capability training, improvement of budgetary allocation, is expected to be so as to improve monitoring implementation. Thus, certain factors like resource allocation and employee human resource capability are noted because they eventually are the premises on which the monitoring process of any project is predicated. From the findings, it is clear that the KISIP managers ensured that human resource capability was present, further the fact that, based on the data, the budgetary allocation to M&E implementation was not adequate all testify to a certain behaviour deliberately chosen by the stakeholders and which have a bearing on the level of M&E implementation.

2.3.2 Stakeholders theory

The stakeholder approach has been described as a powerful means of understanding the firm in its environment (Oakley, 2011). This approach is intended to broaden the management's vision of its roles and responsibilities beyond the profit maximization function (Mansuri & Rao, 2013) and stakeholders identified input-output models of the firm, to also include interests and claims of non-stockholding groups. Patton (2008) elaborates that the stakeholder model entails that all persons or groups with legitimate interests participating in an enterprise do so to obtain benefits and that there is no pre-set priority of one set of interests and benefits over another (Karl, 2013). Associated corporations, prospective employees, prospective customers, and the public at large, need to be taken into consideration.

Overall, a central and original purpose of stakeholder theory is to enable managers to understand stakeholders and strategically manage them (Patton, 2008). The managerial importance of stakeholder management has been accentuated in various studies (Ramabodu & Verster, 2010; Raniga & Simpson, 2012) that demonstrate that just treatment of stakeholders is related to the long-term survival of the organization (McManus, 2013). While having its origins in strategic management, stakeholder theory has been applied to a number of fields and presented and used in a number of ways that are quite distinct and involve very different methodologies, concepts, types of evidence and criteria of evaluation. As the interest in the concept of stakeholders has grown, so has the proliferation of perspectives on the subject (Oakley, 2011). This theory emphasizes the significance of the relationship between the top management staff with the stakeholders. Specifically, managers should understand the success of the projects that can be

influenced greatly by the participation of various stakeholders. These stakeholders will participate depending on the relationship they foster with the top management and not junior workers acting on their behalf.

The stakeholder theory is applicable to the present study because one of its main variables is stakeholder participation which extant literature views as pertinent to the success or failure of monitoring implementation. Based on the data, there was no satisfactory stakeholder participation that was characterized by meaningful levels of decision-making capabilities. The Theory of Planned behavior on the other hand, applies to the human capability and budgetary allocation variables which depend on planning and both the behaviour and commitment of the project managers to be actualized. The two also have been shown to be pertinent to the success or failure of implementation of monitoring systems.

2.4 Conceptual Framework

The conceptual framework presents the diagrammatic illustration of the relationship between the independent variables (human resource capacity, budgetary allocation and stakeholder participation) and the dependent variable (Time, Cost and Quality). This is highlighted in Figure 2.1.

Independent variables factors

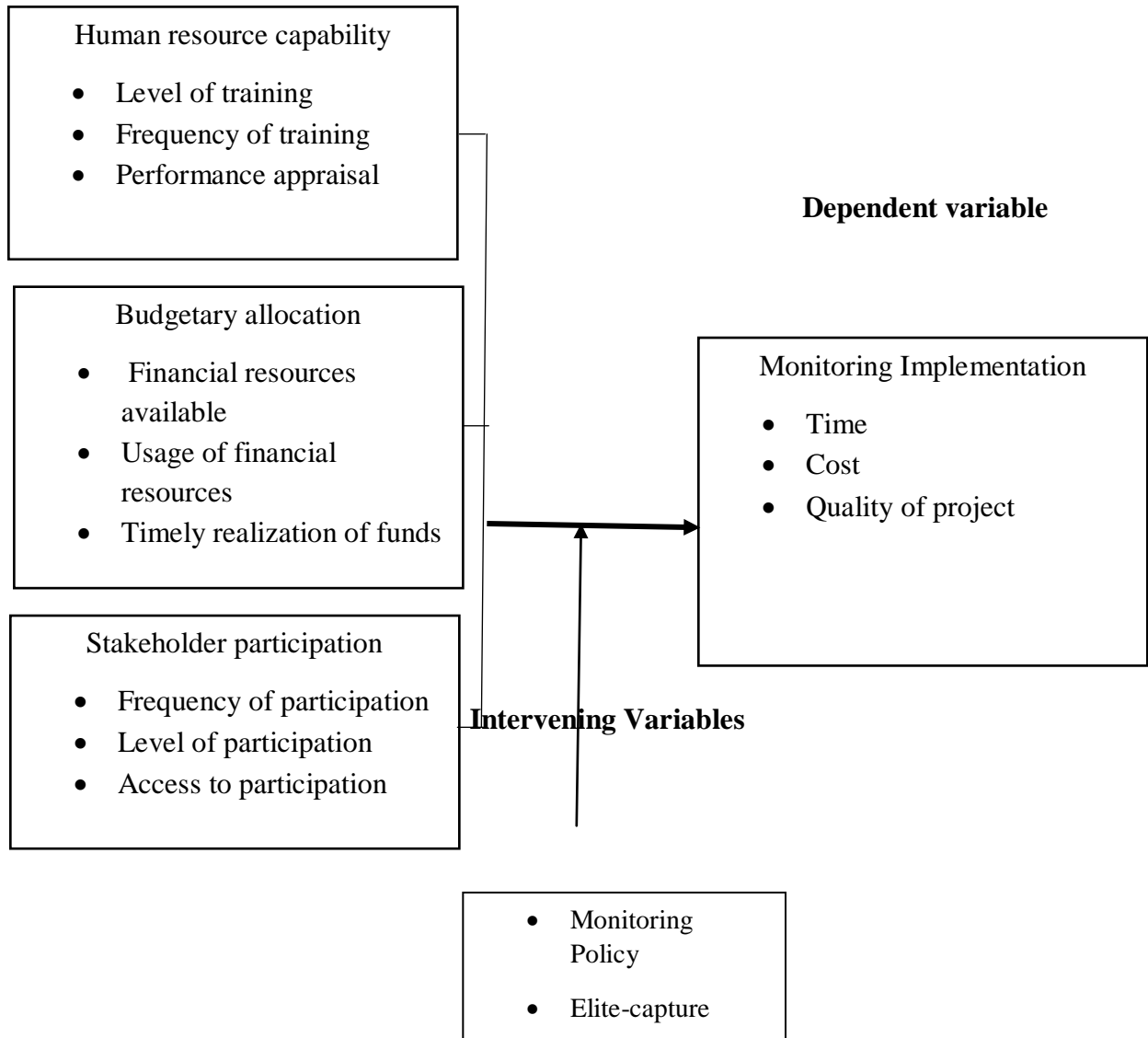


Figure 2.2: Conceptual Framework

The conceptual framework offers a diagrammatic link of the study variables. The independent variables constitute the key factors for implementation monitoring systems. According to the study, they include human resource capability that is measured by examining the level, training, frequency and performance appraisal; budgetary allocation that looks at financial resources available, usage of financial resources and timely realization of funds and stakeholder participation that looks at level, frequency of participation and access to participation. The dependent variable that is assumed to be affected by the independent variables listed above in implementation monitoring systems are time, cost and quality. Elite capture and national monitoring policy are viewed as variables that interlink the two main variables without measurable interference capability and hence intervening. It is assumed that if they are significant, the implementation monitoring systems will not succeed. If on the other hand the intervening variables are mitigated, the monitoring system implementation would succeed.

2.5 Research Gaps

Hassan (2014) noted that many county governments were not involved in monitoring due to factors like lack of project human resource capability, corruption and lack of sufficient resources. However, the study did not consider other important aspects like stakeholder participation together with the actual level of human resource capability for settlement upgrading projects as this study does. Nabulu (2015) also found out that training, cost and time were important components for the successful implementation of M&E. Again, the study did not look into other aspects salient in the present study like stakeholder participation together with the actual human resource capability and budgetary allocation in the implementation of monitoring systems.

Mohamednoor (2017) also noted that in Nairobi, there were problems in the efficiency of monitoring systems occasioned by lack of stakeholder participation, low budgetary allocation and lack of training. The study was however not specific settlement upgrading projects but looked at the County in general.

CHAPTER THREE

METHODOLOGY

3.1 Introduction

In this Chapter the method used in conducting the study is discussed. The research design, population and sampling procedures, data collection methods and instruments, as well as proposed data analysis methods are also highlighted.

3.2 Research Design

The study utilized a descriptive research design which, according to Kothari (2014), is organized to appraise the happenings of events and examine institutions in their current contexts. Morris and Wood (1991) emphasize the vital nature of descriptive design, particularly when the commitment is the acquisition of comprehensive understanding of the setting and background plus the goings-on of the research and processes being studied. Furthermore, they contend that the design has substantial ability to produce answers to the questions of ‘why?’ as well as ‘what?’ and ‘how?’ Additionally, Kothari (2014) observes that descriptive designs consents to both quantitative and qualitative data and resultant analysis.

3.3 Target Population

The study targeted the national KISIP coordinator, Urban development county chief officer, county project management staff of KISIP working in the Munyaka project site and the households who had lived in and those who had operated businesses or led religious organizations in Munyaka for 10 years or longer.

The target population information is presented in Table 3.1.

Table 3.1: Target Population

UNIT	POPULATION FREQUENCY
Households	70
Small business operators and traders	50
Religious leaders	10
National KISIP coordinator	1
Urban development county chief officer	1
County KISIP implementers	5
Total	137

3.4 Sampling and sample size

The study employed stratified sampling technique to delineate the KISIP management staff from the small business operators or traders, religious leaders and household heads who are beneficiaries of the KISIP project who have lived in Munyaka for 10 years or longer. Stratified sampling is useful in the event that the respondents are heterogeneous in their characteristics. All the six KISIP project implementers were included in the study. The sampling technique was also used to select household heads who had lived in, small business operators who had operated, and religious leaders who had led religious organizations in Munyaka for 10 years or longer using the Miller and Brewer (2003) formula. This brought the total sample size for household heads, religious leaders and small business operators to 103 as calculated using the formula by Miller and Brewer (2003). So from 70 households, 48 were sampled, from 50 small businesses and traders, 37 were sampled and from the religious leaders, 9 were sampled, bringing the total to 103. Further, all the 5 County KISIP implementers and the National KISIP Coordinator together with the urban development county chief officer were purposively sampled bringing the total sample to 103.

$$n = \frac{N}{1 + N^{(\alpha)^2}}$$

Where:

n is the sample size

α is the level of significance or margin of error (95%), and

N is the sample frame.

In order to have a fair representative sample size, the sample size was determined at a 91% confidence level (At a 0.09 significance level).

$$n = 130 / 1 + 130 (0.05)^2$$

n = 103 household heads, religious leaders and small business operators

3.5 Data collection instruments

Questionnaires, interviews and secondary data review were the data collection instruments. The study utilized questionnaires as data collection instruments. The researcher used five-point likert scale questionnaires to gather the requisite data from the adult direct beneficiaries of the KISIP

project who have lived in Muniyaka for 10 years or longer. The Likert scale is useful to gather attitude responses and give more reliable results due to its structured coding capability (Kombo, 2013). A questionnaire is a research tool that combines data over a large sample (Kombo 2013) and was deemed suitable as it permits the researcher to gather information from a large sample with varied backgrounds.

Further, an interview schedule was used to get data from the six KISIP staff. Interview schedule is particularly useful to access in-depth qualitative data from a small and thus manageable sample. Bearing in mind the KISIP project implementers were few, it was appropriate to get actual data using the interview schedule. Data from secondary sources was obtained through review of documents from the County Department of Housing and Urban Development, KISIP secretariat, as well as relevant documents of existing publications related to the study topic. This aided in enhancing the understanding of the study area, its establishment, what was done by others in the same sector and what can be used in this study to address the existing problems.

3.5.1 Reliability of the instruments

Reliability refers to the degree to which the measuring instruments offer dependable results (Kothari, 2014). To determine the reliability of research instruments, the Cronbach's coefficient alpha model was employed using the standard alpha coefficient formula (Kothari, 2014) and a reliable figure of 0.713 realized which was above 0.7 and thus accepted as a mark of high reliability.

3.5.2 Validity of the instruments

Validity designates the degree to which instruments measure what they are intended to measure (Kothari, 2014). Content validity, based on the nature of this study, was most relevant for the present study. This was because it was meant to address itself to how suitably the content of the instrument sampled the nature of objects about which deductions were to be concluded. To thus determine content validity of the instruments, the research supervisors appraised the content of the instruments and counseled the researcher on the content validity. The emanating feedback was used to review the instruments.

3.6 Data collection procedure

The researcher secured an authorization letter from the University and research permit from the County of Uasin Gishu before proceeding to the field for data collection. The researcher

personally visited the project offices and, using research assistants, got the adult direct beneficiaries of the KISIP project who had lived in Munyaka for 10 years or longer and administered the questionnaires. The researcher later scrutinized and analyzed relevant documents to determine their trustworthiness.

3.7 Data analysis and presentation

Quantitative data was analyzed using descriptive analysis in form of percentages, frequencies means and standard deviation. Data analyzed descriptively was presented in tables because they are graphic and offer a methodical record of analysis in an easy to understand arrangement. Qualitative data from the interview schedule was analyzed using thematic analysis while those from documents were analyzed using content analysis. Thematic analysis examines the actual experiences, insights and meanings from respondents regarding a particular subject while content analysis looks at the text and derives data from what is therein.

3.8 Ethical considerations

The respondents were informed of the purpose of the research, duration, and benefits of the study. Privacy, confidentiality, and anonymity of the data collected were also assured to the respondents.

CHAPTER FOUR

DATA ANALYSIS, INTERPRETATION AND DISCUSSION OF FINDINGS

4.1 Introduction

This Chapter is concerned with the analysis of data, its subsequent presentation and interpretation together with the discussion of the findings. The chapter is organized into the following sections: General characteristics of the respondents; monitoring efficiency; how human resource capability influences implementation of monitoring systems; how budgetary allocation influences implementation of monitoring systems; and how stakeholder participation influences implementation of monitoring systems in the Munyaka project.

4.2 Response Rate

There were a total of 103 questionnaire distributed to the targeted respondents (the the small business operators or traders (37), religious leaders (15) and household heads (48); who are beneficiaries of the KISIP project who have lived in Munyaka for 10 years or longer. From this only 78 of the targeted beneficiaries of the KISIP project respondents gave their responses in all questions asked. Further, from the 7 targeted KISIP Staff, only 6 of them answered the interview questions. This means that the questionnaire response rate for beneficiaries of the KISIP project was 69.0% and response rate for interviews was 85.7% for KISIP Staff which is acceptable going by Saunders et al (2007) assertions that a response rate that exceeds more than half is both acceptable and significant. This acceptable response rate is due to efforts by the researcher and research assistant who persistently kept in touch with the respondent and collected the dully filled questionnaires promptly. The questionnaires were collected among the KISIP staff within two days while among the direct beneficiaries; the same was done within a week.

4.3 General characteristics of the respondents

The present study was primarily concerned with establishing the level of monitoring implementation systems and how it has been influenced by factors like human resource capability, budgetary allocation and stakeholder participation taking the Kenyan Informal Settlement Improvement Project in Munyaka, Eldoret town as a case study. As part of the research, the respondents were requested to furnish the study with demographic information as seen in the succeeding results.

4.3.1 Gender distribution of respondents

The gender of both the beneficiaries of the KISIP project was enumerated as seen in table 4.1.

Table 4.1: The gender distribution of respondents

KISIP project beneficiaries		
Class	Count	Percent
Male	51	64.1
Female	27	35.9
Total	78	100.0

From Table 4.1 it is evident that majority of the beneficiaries of the KISIP project respondents at 64.1% were male with only 35.9% being female. As far as the KISIP management was concerned, 67% of them were male while only 33.0% were female. This gives the implication that the pool of small business operators or traders, religious leaders and household heads in Munyaka settlement was male-dominated in as much as the female pool did not lag far behind. This is encouraging, particularly as regards the significant female employee considering that Adan (2012) had argued that for many years in the past, the pool of direct beneficiaries of projects was male dominated but that recently, the female beneficiary has been significantly included considering that they too were now directly involved in businesses, single parenthood and household headship. This is also supported by Amadi (2014) who noted the significant ground females had covered to be included in the public service. However, as far as the KISIP management is concerned, the staffing was male dominated, a factor that coheres with many studies that show that project management in the engineering and construction sector is highly male dominated (Shapiro, 2014; Singh & Nyandemo, 2013).

4.3.2 Age distribution of respondents

The beneficiaries of the KISIP project and the KISIP staff were also requested to fill in their age brackets and the results appear in Table 4.2.

Table 4.2: Age distribution of respondents

Class (years)	KISIP project beneficiaries		KISIP management staff	
	Frequency	Percent	Frequency	Percent
18-25	10	12.9	0	0.00
26-35	24	30.9	1	17.0
36-45	30	38.4	4	67.0
46-55	8	8.9	1	17.0
Over 55	8	8.9	0	0.00
Total	78	100.0%	6	100.0

The table 4.2 shows that majority of the KISIP project beneficiaries at 38.4% had their ages ranging from 36-45 years then 30.9% ranging from 26-35 years and 12.9% young at 18-25 years and cumulative 17.8% above 45 years. On the part of the KISIP management staff, majority at 67.0% were aged between 36-45 years, 17.0% aged between 26-35 years and another 17.0% aged between 46-55 years. This is an indication that majority of the direct beneficiary respondents and all of the KISIP staff, at least as far as their ages were concerned, were satisfactorily exposed to issues of monitoring and stakeholder participation. Further it is attuned to Emeti (2015) who asserted that age maturity is important to improve perceived reliability of generated results.

4.3.3 Level of education and experience

Cheng et al (2013) had asserted that education is a necessary component in the social life of individuals and for the attainment of important and relevant skills and competencies for effective work. Thus, the beneficiaries of the KISIP project and the KISIP staff were asked to give their educational and service backgrounds and this is presented in Table 4.3.

Table 4.3: Level of Education

Category	KISIP project beneficiaries		KISIP management staff	
	Count	Percentage	Count	Percentage
Primary	0	00.0	0	0.00
Secondary	36	45.9	0	0.00
Cert/Diploma	28	35.9	0	0.00
Undergraduate degree	9	12.1		
Post-graduate	5	6.1	4	67.0
Total	78	100.0%	3	33.0%
			6	100.0

From the Table 4.3, it is plain that majority of the KISIP beneficiaries at (45.9%) were secondary certificate holders, 35.9% were both certificate or diploma holders, while 12.1% had undergraduate degree certificates and only 6.1% had post-graduate certificates of some kind. Also, 67.0% of KISISP management staff had undergraduate degrees while 33.0% had post graduate degrees. This suggests that the KISIP management and the beneficiary respondents had made significant strides to further their academic situations. Consequently, it can be implied that those with first degree and above were adequately knowledgeable compared to those with less certification and were more suited for the job market and the changing requirements that characterize the market dynamics. Further, it can be inferred that those significant number of significantly educated respondents were reliably certified to ably answer questions regarding monitoring implementation and the factors of human resource capability, budget allocation and stakeholder participation.

Table 4.4: Level of experience of KISIP staff

KISIP management staff		
Category	Count	Percentage
Below 5 years	1	17.0%
5-10 years	5	83.0%
Total	6	100.0%

As far as the KISIP management was concerned, majority had worked (83.0%) in the project for between 5-10 years; which is almost the time that the project has existed since inception in 2011. The degree to which an employee is experienced at a particular job is indicative of the credibility of the information about the employee's type of work that could be gathered (Gladys, 2010). Their acquired skills, knowledge coupled with their expertise had been subjected to the test of time and thus their perception on the matter under study was deemed to be reliable and credible.

4.3.4 Category of KISIP direct beneficiaries

The direct beneficiaries were asked about their category of work or position and the result is seen in Table 4.5.

Table 4.5: Category of KISIP direct beneficiaries

Category	Count	Percentage
Household head	36	45.9
Small business operator	28	35.9
Religious leader	14	18.2
Total	78	100.0

From Table 4.5, it is clear that 45.9% of the KISIP beneficiaries were household heads, followed by 35.9% who were small business operators and finally 18.2% who were religious leaders. This implies that the present study accessed a cross section of a good sample of residents in Munyaka with the highest potential to answer to stakeholder participation in the KISIP project in Munyaka.

4.4 Influence of human resource capability on monitoring implementation

Objective one needed the evaluation of how human resource capability influences implementation of monitoring systems in the Munyaka project; and was asked to KISIP staff. The succeeding results are from the interview schedule and backed up by analysis from the documents reviewed.

From the interview with the six KISIP Staff it was ascertained that in terms of human resource capabilities the following designations applied to the staff: one of the staff was the project coordinator and the other was the social development officer. Two of the staff were road engineers and one other was the community response coordinator and the remaining one staff was a project implementer who assisted the project coordinator to keep track of the project. From the foregoing, it is clear that none of them had any substantive qualification in monitoring systems. Implied in this data is that significant technical and human resource capability to enhance the monitoring of the project had not been put in place to implement the KISIP project in Munyaka.

The KISIP staffers were further asked if there was sufficient training in monitoring systems among the project management staff to efficiently implement the KISIP project. From the interview, it was clear that there was no such training. In fact the project coordinator put it succinctly that:

“Based on the KISIP National Framework, the project sponsor (KISIP) at the national level is responsible for the project monitoring process. As such, we see no need to be concerned about it

at the county level. In fact, none of us is adequately qualified or even trained in monitoring apart from some basic knowledge that some of us got in a unit course in university (PC, 2021).”

The argument that only the KISIP national management has the responsibility to monitor the KISIP projects in areas like Munyaka however contradicts the framework given in the KISIP Resettlement Action Plan drawn by the Ministry of Transport, Infrastructure, Housing and Urban Development. The document requires that there be an internal mechanism for M&E of the projects. Figure 4.1 below shows a screenshot of that requirement from that document.

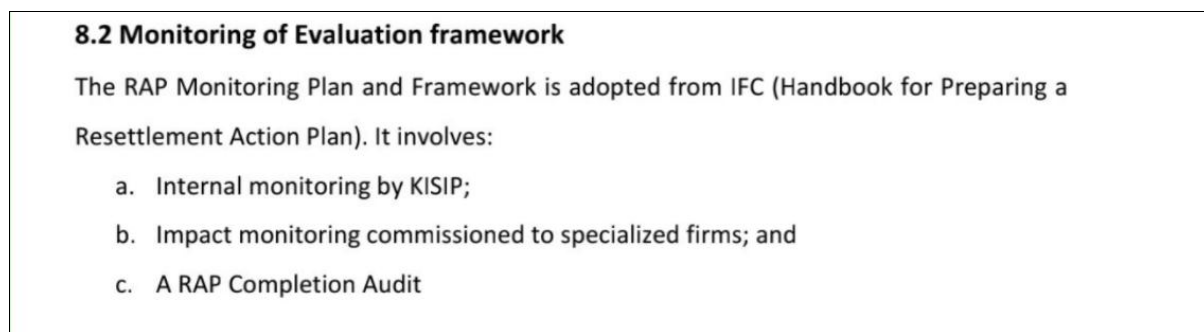


Figure 4.1: Screenshot showing the requirement for Internal monitoring by KISIP

Source: KISIP Resettlement Action Plan (2017)

A closer look at the RAP document shows that monitoring capability is not even part of the roles for the Project Coordination Team. This means that clearly, there was no human resource capability to effectively monitor the KISIP project by KISIP staff at the county level and neither was it expected to be despite the same document requiring an internal mechanism for monitoring. Figure 4.2 shows a screenshot of the requirements to give evidence on the aforementioned assertion.

9.3 KISIP Project Coordination Team

The overall coordination of the whole process, from development to implementation and monitoring, is provided by the KISIP PCT. The National KISIP Coordinating Unit has the following roles:

- Coordinate the effective implementation of the ESMF/RPF and ensure compliance with agreed implementation procedures and guidelines.
- Prepare Progress Reports on the implementation of the environmental and social safeguards.
- Procure and supervise consultants for Social and Environment Assessments.
- Build the capacity at all levels to implement the ESMF/RPF.
- Supervise ESMF/RPF implementation during and after project implementation.

53

Scanned with CamScanner

-
- Ensure integration of EMPs and RAPs into Contract and Bid Documents.
 - Ensure adequate community participation.

Figure 4.2: Screenshot showing the roles of the Project Coordination Team.

Source: KISIP Resettlement Action Plan (2017)

The KISIP staff, as a follow-up to lack of training in monitoring systems for the project, were asked if a significant number of management staff needed to improve on monitoring human resource capability to avoid unscrupulous contractors of Kenyan Informal Settlement Improvement Project in Munyaka. All the staff from the interview agreed that there was such a need.

The results above agree with significant literature. Vanessa and Gala, (2011) had observed that the technical capacity of the organization in conducting evaluations, the value and participation of its human resources in the policymaking procedure, their incentive to impact resolutions, can be enormous determinants of how the evaluation's lessons are made, conversed and perceived. Also, that, human capitals on the project should be given clear job allocation and designation be fitting their skill, if they are insufficient then training for the necessary competence should be set

but that many staffers were not competent in monitoring even at an average level. Sharma et al (2013) in a study of human resource capability noted that the level of competence of staff was a strong and significant indicator of monitoring implementation and performance appraisal played a key part in enhancing it. The study noted that level of competence was very important even to help companies that had struggles in return on investment, profitability and equity and that the competence also helped start-ups and rebranding companies to compete. The study also noted that monitoring was not to be understood only as a conceptualized idea but as an integral part of organizational operations. Stahl et al (2012) highlighted six aspects that are necessary for the success of monitoring in most organizations. In an elaborately hypothesized study using regression analysis, the study noted some salient issues. First, the study noted that level of competence was a significant feature that scored among the top of the aspects as far as M&E management was concerned. Other issues like talent retention, attraction, motivation and leadership also were ranked but appeared below the level of competence among staff. This basically means that when an organization improves on staff's level of competence, the performance of the organization in terms of operations and even monitoring is bound to improve.

4.5 Influence of budgetary allocation on monitoring implementation

Objective two intended to establish the influence of budgetary allocation on monitoring implementation at KISIP. The succeeding result is based on an interview on KISP staff and document analysis done.

The KISIP staffers were asked in the interview if there was money earmarked in the local budget for monitoring and evaluation. The KISIP staffers responded that there was no money budgeted specifically for monitoring of the Munyaka Project. The County Project Coordinator added that:

The budget for monitoring of the Munyaka KISIP project is done at the national level where the exercise is outsourced to an outside agency. However, at the local level, monitoring of the project is largely done via community linkages with the direct beneficiaries themselves checking on quality and complaining in the Munyaka Residents Community Representatives meeting that is held bi-monthly. Of course, no definite budget is earmarked for that exercise. (CPC, 2021).

This response shows that there was no budget for monitoring of the KISIP project in Munyaka. Further, the assertion that the community representatives did the monitoring is interesting because they are not qualified to monitor any project.

The KISIP Staffers were asked if they needed a budget for monitoring of the systems. The project coordinator, the community response coordinator and the engineers agreed that such a budget was helpful but argued that for it to make sense, there would be need to hire a monitoring expert to do that as among them none was qualified to monitor the systems expertly and within professional standards.

From the foregoing, it was clear that apart from the absence of a clear budget for monitoring and evaluation, there was also no clear mandate for monitoring within the KISIP budget. This was ascertained through the documentary analysis done. Based on the World Bank KISIP Report (2011) which was the initial report that undergirded the KISIP project nationally, the budgetary allocation for the whole project was \$100 million with the Kenyan Government agreeing to add \$10 million as incremental costs in case the project had cost overruns and in noncash contributions in terms of space and staff time among others. Figure 3 below shows a screenshot from the document that shows how the KISIP budget was allocated.

Component	IDA Financing	% Financing
1. Strengthening institutions and program management	10.0	100
2. Enhancing tenure security	8.0	100
3. Investing in infrastructure and delivery of services	70.3	100
4. Planning for urban growth	4.00	100
Unallocated	7.7	100
Total project costs	100.0	100
Total financing required	100.0	100

Figure 4.3 KISIP Budgetary Allocation from the World Bank Source: World Bank KISIP Report (2011).

From the data it is clear that \$10 million was allocated for strengthening institutions and program management and it is herein that monitoring of the project would fall. The World Bank KISIP Report (2011) shows that monitoring is part of the strengthening institutions and program management because on page 37 of that report, it itemizes what constitutes that component and one of those is monitoring. However, it does not specify the amount that should be earmarked for monitoring within the \$10 million allocation.

Further, from the document analysis of the KISIP Project Document (2011), the total cost for the whole KISIP project in Munyaka was 30 million USD or 3 billion Kenya Shillings. This was to be divided among certain important components, namely: strengthening institutions, 4.5%,

enhancing tenure security (4.6%), investing in infrastructure and service delivery (53.8%) and planning for urban growth (2.3%). From the analysis, there is no clearly identified budgetary allocation for monitoring systems implementation for the projects. This creates a gap and coheres with the results from the KISIP staff that shows no budgetary allocation to monitoring systems.

The results above agree with significant literature reviews. Harris (2014) had noted that one of the most important resources to build monitoring and to improve projects was the presence of supporting policies and guidelines plus financial management systems. On their part, Klingebiel and Rammer (2011) showed that in the event of implementation indices and projections, availability of sufficient resources was necessary to build up the efforts of managers for better growth and that when all these resources were missing, it was clear that many things would suffer. Lemarleni, (2017) showed that there was both positive and significant correlations between financial resource availability and M&E performance. Sturdiest and positive correlations were gotten out of resource availability in general shadowed by financial resource coupled with strategy resource allocation. Technological resource together with human resources also recorded robust and positive correlations.

4.6 Influence of stakeholders participation on monitoring Implementation

Objective three intended to establish the influence of stakeholder participation on monitoring systems implementation. See table 4.6 for the full results.

Table 4.6: Influence of stakeholder participation on monitoring implementation at KISIP

	SA		A		N		D		SD	
	F	%	F	%	F	%	F	%	F	%
Stakeholder participation in monitoring is important for efficient implementation of KISIP project	13	16.7%	34	51.7%	9	8.3%	16	20.0%	6	3.3%
All relevant stakeholders significantly participate in monitoring of the KISIP project	8	6.7%	17	23.3%	9	8.3%	34	51.7%	10	10.0%
Those who have participated have helped improve the M&E implementation of the KISIP project	13	16.7%	30	45.0%	11	11.7%	17	21.7%	7	5.0%
The participation frequency can also be considered significant (at least once in 2 months)	10	13.3%	12	13.3%	10	10.0%	14	18.3%	32	48.3%
Generally, the stakeholder participation has not been significant and has hampered implementation of monitoring of the KISIP project in Munyaka.	10	10.0%	32	48.3%	11	11.7%	16	21.7%	9	8.3%

Table 4.9 shows that majority at 67.4% of KISIP beneficiaries agreed that stakeholder participation in monitoring was important for efficient implementation of KISIP project, 23.3% disagreed and 8.3% were neutral. This implies the appreciation by stakeholders as to the importance of participation in the monitoring process. Adan (2012) argued that that if implementation of any operational indicator is to succeed, then stakeholder participation must be considered. He also noted that often the general public was never involved in the initiation and implementation of the process, so much so that often the implementation always ran into problems of lack of buy-in.

On whether all relevant stakeholders significantly participated in monitoring implementation, 61.7% of KSIP direct beneficiaries disagreed, 30.1% agreed and 8.3% were neutral consequently suggesting that stakeholder participation had not been allowed for effective monitoring of the KISIP project in Munyaka. This result agrees with literature. Ondieki (2011) had noted that in the end stakeholder participation enabled efficient monitoring in the long-run. The study also noted that the participation must be structured and meaningful if it is to have the desired impact

and that often due to absence of these factors, monitoring always failed. When asked if those who had participated had helped implementation of KISIP project, 62.7% of KISIP direct beneficiaries agreed, and 25.7% were in disagreement. This implies that when stakeholder participation was implemented in some form, the results as to the monitoring efficiency were positive. Iya and Jha (2015) had earlier noted that primarily, user involvement was almost a panacea to the issues of quality and improvements in customer and stakeholder satisfaction. However, they noted that for a robust monitoring systems, user involvement was necessary inasmuch as in many African countries this was never keenly taken into account.

On whether the participation frequency could also be considered significant (at least once in 2 months), 66.6% of KISIP direct beneficiaries disagreed, 23.3% agreed and 10.0% were neutral. This is an indication that stakeholder participation frequency was low and this could hamper monitoring efficiency. Again this is agreed to in literature with Adan (2012) asserting that that if performance of any operational indicator is to succeed, then stakeholder participation must be considered. He also noted that often the general public were never involved in the initiation and implementation of the process, so much so that often the implementation always ran into problems of lack of buy-in. Finally, when asked if generally, the stakeholder participation had been significant and had improved implementation of KISIP project. 58.3% disagreed, 30.0% agreed and 11.7% were neutral. This implies that stakeholder participation was low and thus had a negative influence on implementation of KISIP project in Munyaka.

However, a look at some of the minutes from meetings with stakeholders, showed some level of participation in the whole process. The stakeholders, particularly the Munyaka Residents were involved in monitoring of the projects through receiving reports from the implementers and being asked to walk around to see for themselves the progress of ongoing works. This is evidenced by minutes from the meetings that were held bi-monthly between the residents and the KISIP project staffers. Figure 4.4 below shows a screenshot of one of their meetings.

**MUNYAKA RESIDENTS COMMUNITY REPRESENTATIVES MEETING
ON KISIP PROJECTS HELD ON 2ND NOVEMBER 2015 AT CHIEFS
CAMP KAPSOYA.**

AGENDA

1. Prayer
2. KISIP ablution blocks
3. Roads Construction in Munyaka and Mwithirithia
4. SEC members (Composition)
5. Water and Sanitation
6. Solid waste management.

MIN 1/2015- PRAYER/INTRODUCTION

The meeting opened at 3 p.m with a word of prayer from Ann Kandie (SEC Vice chairperson) followed by self introduction by the members.

**MIN 2/2015- DISCUSSION ON ABLUTION BLOCKS/ROADS AND SEC
COMPOSITION.**

ABLUTION BLOCKS

Members inquired to know how ablution blocks were arrived at and yet they were not the community prioritized need and how the sites were identified and yet the community was not involved. The members argued that they were not involved in any identification of sites and the current identified.

Sites do not represent the entire area but they are concentrated on one side.

RESOLUTION

The Uasin Gishu KISIP Coordinator informed the meeting that upon project commencement in 2011, the appointed consultants, conducted meetings with community members on data collection and analysis and eventually prepared designs which were taken to tender for award of contracts. He clarified to members that the team which was designing the projects considered the provision of a sewerline to connect munyaka to the nearest Eldowas sewerline at the prisons area, however that proposal suffered a serious challenge since there were no wayleaves and world bank funds not be used to purchase land. It was therefore not viable which resulted in the provision of ablution blocks which was then factored in the tender documents. He further explained that several consultative meetings were then done in consultation with the community on identification of ablution block sites but in vain. Eventually when it became apparent that munyaka would miss out on the ablution blocks because of the unavailability of land, the SEC

**Figure 4.4: Screenshot of one of the Munyaka Community and KISIP Staff Meetings.
Source. KISIP County Office Uasin Gishu (2021)**

In this meeting, it is clear that the stakeholders are concerned about ablution blocks which were not community prioritized. The Uasin Gishu KISIP Coordinator then informs them that the ablution blocks are important to connect the project to the main sewer line and later the stakeholders are satisfied. The difference in responses is that many of the direct beneficiaries did not feel that they were well represented in the Munyaka Residents Community Representatives Committee.

From the findings, it is clear that TPB and TRA is relevant to this study because one of the basic tenets for effective monitoring is to somewhat control the monitoring personnel and managers' behavior and largely predict what behavior, whether through human resource capability training, improvement of budgetary allocation, is expected to be so as to improve monitoring implementation. Thus, certain factors like resource allocation and employee human resource capability are noted because they eventually are the premises on which the monitoring process of any project is predicated. Based on the findings, the behavior as far as enacting effective human resource capabilities into the monitoring systems and having a budget for monitoring has not been positive and this affects monitoring of the projects.

Further, the stakeholder theory is applicable to the present study because one of its main variables is stakeholder participation which extant literature views as pertinent to the success or failure of monitoring implementation. In conclusion, from the findings above, generally, the lack of effective human resource capability, lack of budgetary allocation and insufficient stakeholder participation affected the projects to the extent that they were not completed on time, as per the intended quality and at accepted customer satisfaction.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This section presents succinctly the summary of findings, the conclusions derived from the findings and the recommendations made.

5.2 Summary of Findings

Premised on the first objective, from the interview with the six KISIP Staff it was ascertained that in terms of human resource capabilities the following designations applied to the staff: one of the staff was the project coordinator and the other was the social development officer. Two of the staff were road engineers and one other was the community response coordinator and the remaining staff was a project implementer who assisted the project coordinator to keep track of the project. From the foregoing, it is clear that none of them had any substantive qualification in monitoring systems. Implied in this finding is that significant technical and human resource capability to enhance the monitoring of the project had not been put in place to implement the KISIP project in Munyaka.

Based on the second objective, there was money earmarked in the local budget for monitoring and evaluation. The KISIP staffers responded that there was no money budgeted specifically for monitoring of the Munyaka Project. Further, from the document analysis of the KISIP Project Document (2011), the total cost for the whole KISIP project in Munyaka was 30 million USD or 3 billion Kenya Shillings. This was to be divided among certain important components, namely: strengthening institutions, 4.5%, enhancing tenure security (4.6%), investing in infrastructure and service delivery (53.8%) and planning for urban growth (2.3%). From the analysis, there is no clearly identified budgetary allocation for monitoring systems for the projects. This creates a huge gap and coheres with the results from the KISIP staff that shows no budgetary allocation to monitoring systems.

Premised on the third objective, it is clear that majority at 68.4% of KISIP direct beneficiaries agreed that stakeholder participation in monitoring was important for efficient KISIP monitoring. On whether all relevant stakeholders significantly participated in monitoring, 61.7% disagreed. When asked if those who had participated had helped improve implementation of monitoring at KISIP, 61.7% agreed. On whether the participation frequency could also be considered significant (at least once a month), 66.6% disagreed, 23.3% agreed and 10.0% were neutral.

Finally, when asked if generally, the stakeholder participation in monitoring had been significant and had improved implementation of monitoring systems at KISIP, 58.3% disagreed. However, a look at some of the minutes from meetings with stakeholders, showed significant participation in the whole process. The stakeholders, particularly the Munyaka Residents were involved in monitoring of the projects. The difference in responses is that many of the direct beneficiaries did not feel that they were well represented in the Munyaka Residents Community Representatives Committee.

5.3 Conclusions

Premised on the first objective, significant technical and human resource capability had not been put in place for monitoring systems implementation in the KISIP project. Further, there was no monitoring training among the project management staff to efficiently implement the KISIP project. Further, a significant number of management staff need to improve on monitoring human resource capability to avoid unscrupulous contractors of Kenyan Informal Settlement Improvement Project in Munyaka. It can thus be concluded that there was relatively low human resource capability which had a negative influence on the implementation of monitoring systems in the Kenyan Informal Settlement Improvement Project in Munyaka Eldoret.

Based on the second objective, the budgetary resources did not get allocated optimally for the sake of implementation of the monitoring systems in the KISIP project in Munyaka. There was also need for timely disbursement of financial resources required, to support the implementation of monitoring systems for KISIP. It can thus be concluded that there was no optimal budgetary allocation towards M&E which in turn negatively influenced the implementation of monitoring systems in the Kenyan Informal Settlement Improvement Project in Munyaka Eldoret.

On the third objective, stakeholder participation in monitoring was important for efficient implementation of monitoring systems by KISIP. However, not all relevant stakeholders significantly participated in the implementation monitoring systems. Also, the participation frequency was low and generally, the stakeholder participation had been less than significant and had thus hampered implementation of monitoring systems by KISIP. It can thus be concluded that the low stakeholder participation in monitoring systems implementation had significantly negative influence on implementation of monitoring system in settlements upgrading projects, the case study of Kenyan informal settlement improvement project in Munyaka Eldoret.

Generally, the lack of effective human resource capability, lack of budgetary allocation and insufficient stakeholder participation affected the projects to the extent that they were not completed on time, as per the intended quality and at accepted customer satisfaction.

5.4 Recommendations

The KISIP project management should invest in training and capacity building its staff in monitoring. This will equip them with the necessary tools to enable effective monitoring of the project. They should do this through seminars and in-service training sessions.

The KISIP project management should perform resource mobilization to acquire financial resources that would support monitoring systems implementation of the KISIP project in Munyaka. The County in conjunction with the national government should also add more money to the project for efficient monitoring.

The KISIP project management should devise an inclusion policy that would enhance effective stakeholder participation in implementation of monitoring systems of the Munyaka settlement project and other such projects. Such a policy should be aligned with the legislation on public participation. Further, the residents themselves should proactively demand for participation as that is their legal right.

5.5 Recommendations for Further Research

It is recommended that a review be done to establish the forces that influence monitoring strategies in counties. Also, additional studies need to consider how the county government has invested in human resource capabilities and its influence on monitoring.

I didn't see you make use at all of the theories you had mentioned earlier. Are they still relevant?

So what are the main collusions with respect to your initial research objective?

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APPENDICES

APPENDIX I: INTERVIEW SCHEDULE FOR MANAGEMENT STAFF

Q/No:.....

This academic interview is prepared purposely to assist in collecting data relating to implementation of monitoring systems in settlement upgrading projects in The Kenyan Informal Settlement Improvement Project in Munyaka settlement upgrading project. As one of the key identified respondents/informants, you are hereby requested to complete it. Any information given with respect to this request shall be treated with strict confidentiality and will only be used for the intent aforementioned.

PART ONE-DEMOGRAPHIC DATA

1. Please indicate your gender
(a) Male (b) Female
2. Please indicate your age
(a) 18-25 years (b) 26-35 years (c) 36-45 years
(d) 46-55years (e) Over 55 Years
3. Please indicate your highest level of education attained
KCSE Certificate Diploma Degree Masters PHD
4. How many years have you worked?
 Below 5 5-10
 10 -15 15, and above
5. To what extent has the Kenyan Informal Settlement Improvement Project objectives been consistent with the national goals for the settlement improvement?
6. Were project objectives realistic, given the time and budget allocated to the project, the baseline situation and institutional context?
7. How successful is the project in achieving its planned outputs, especially that of being done within scheduled timelines? , sequencing, timeliness and usefulness?
8. Is there significant technical and human resource capability put in place to implement the KISIP project
9. Is there sufficient training among the project management staff to efficiently implement the KISIP project
10. Is there continuous in-service training to further equip project management staff to efficiently implement the KISIP project

11. Is there a budget earmarked for monitoring systems of the Munyaka project?
12. If there is, how much has been used so far to do the monitoring?
13. Is the money budgeted for enough?
14. Do all relevant stakeholders (business operators, household representatives and religious leaders etc) significantly participate in monitoring?
15. Has their participation helped to improve monitoring?
16. Can their level of participation be considered high (Robust debate and input of value)
17. Is the frequency of participation adequate?

APPENDIX II: QUESTIONNAIRE FOR ADULT DIRECT BENEFICIARIES OF THE KISIP PROJECT WHO HAVE LIVED IN MUNYAKA FOR 10 YEARS OR LONGER

Q/No:.....

This academic questionnaire is prepared purposely to assist in collecting data relating to implementation of monitoring system in The Kenyan Informal Settlement Improvement Project in Munyaka settlement upgrading project. As one of the key identified respondents/informants, you are hereby requested to complete it. Any information given with respect to this request shall be treated with strict confidentiality and will only be used for the intent afore mentioned.

Kindly indicate your consent prior to completion.
 I agree I disagree

PART ONE-DEMOGRAPHIC DATA

1. Please indicate your gender
 (a) Male [] (b) Female []
2. Indicate your station of Influence
 a) Household Head [] b) small business operator [] c) religious leader []
2. Please indicate your age
 (a) 18-25 years [] (b) 26-35 years [] (c) 36-45 years []
 (d) 46-55years [] (e) Over 55 Years []
3. Please indicate your highest level of education attained
 None [] KCPE [] KCSE [] Certificate [] Diploma [] Degree
4. How many years have you resided in Munyaka?
 [] Below 5 [] 5-10
 [] 10 -15 [] 15, and above
5. What is your residential status?
 Rental [] landlord [] reside in own home [] Squatter []

PART B- stakeholder participation

1. To what extent do you consider the following statements as true? (Kindly tick the relevant box for each).
 SA-Strongly Agree (5), A-Agree (4), U-Undecided (3), D-Disagree (2), SD-Strongly Disagree (1)

	SA 1	A 2	U 3	D 4	SD 5
Stakeholder participation in monitoring is important for efficient implementation of KISIP project					
All relevant stakeholders significantly participate in monitoring of the KISIP project					
Those who have participated have helped improve the M&E implementation of the KISIP project					
The participation frequency can also be considered significant (at least once in 2 months)					
Generally, the stakeholder participation has not been significant and has hampered implementation of monitoring of the KISIP project in Munyaka.					
Stakeholder participation in monitoring is important for efficient implementation of KISIP project					

Appendix III: Documentary Checklist

KISIP Resettlement Action Plan (2017)
World Bank KISIP Report (2011).
KISIP County Office Uasin Gishu (2021)