DETERMINANTS OFEFFECTIVE BASELINE SURVEY FOR DONOR FUNDED SLUM UPGRADING PROJECTS IN NAKURU COUNTY

BRENDAH ATIENO OCHIENG

A RESEARCH PROJECT SUBMITTED TO THE SCHOOL OF ENTREPRENEURSHIP, PROCUREMENT AND MANAGEMENT IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE AWARD OF MASTERS OF SCIENCE DEGREE IN PROJECT MANAGEMENT IN JOMO KENYATTA UNIVERSITY OF AGRICULTURE AND TECHNOLOGY

MAY, 2018

DECLARATION

I declare that this research project is my original work and has not been presented to any other institution of learning for an academic award.

Signature …… Date ……

BRENDAH A. OCHIENG

REG.NO. HD317-C007-7257/2015

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

Signature …… Date ……

DR.DAVID GICHUHI

Lecturer, JKUAT

DEDICATION

I dedicate this research project to my late dad Mr. George Ochieng' Nyando.

ACKNOWLEDGEMENT

First, I would like to thank the Almighty God for His Mercy, Grace and Provisions. I would also like to express my very great appreciation to Dr. Gichuhi my supervisor for his valuable and constructive suggestions during planning and development of this research work. His willingness to give his time so generously has been very much appreciated. I would also like to extend my thanks to the Jomo Kenyatta University of Agriculture and Technology Nakuru CBD Campus fraternity for their support. Finally, I wish to extend sincere gratitude to my colleagues and more specifically my boss Madam Nelly Achieng and my dear friend Mr. Gordon Ochieng' for their support all through my academic walk.

ABREVIATIONS AND ACRONYMS

CDF	Community Development Fund
IMF	International Monetary Fund
NACCSC	National Anti-Corruption Campaign Steering Committee
NGO	Non-Governmental Organization
PELUM	Participatory Ecological Land Use Management
M&E	Monitoring and Evaluation
EU	European Union
UNDP	United Nations Development Programmes

TABLE OF CONTENTS

LIST OF FIGURES

LIST OF TABLES

LIST OF APPENDICES

DEFINITION OF TERMS

Baseline: The measurement of key conditions (indicators) before a project begins from which change and progress can be assessed (Green & Haines, 2008).

Beneficiary: Is a natural person or other legal entity who receives money or other benefits from a benefactor (Zaman, 2000).

Cost: Baseline survey budget delineated within the overall project budget (McCoy, 2005).

Effective Baseline: Is a successful baseline which provides a desired or intended result (Green & Haines, 2008).

Evaluation: The periodic assessment of the relevance, performance, efficiency, and impact (both expected and unexpected) of a development intervention in relation to stated objectives (World Bank, 2004).

Monitoring: Continuous systematic process of collecting and analyzing information, through the use of indicators (World Bank, 2004)

Slum: A slum household as a group of individuals living under the same roof in an urban area who lack durable housing of a permanent nature with security of tenure, sufficient living space which means not more than three people sharing the same room, easy access to safe water in sufficient amounts at an affordable price, access to adequate sanitation in the form of a private or public toilet shared by a reasonable number of people (UN-HABITAT, 2016).

Stakeholder Participation: A developmental, educative and integrative means of protecting freedom involving participants in a project (Robert, 2004).

Stakeholders: Stakeholders are persons or groups who are directly or indirectly affected by a project, as well as those who may have interests in a project and/or the ability to influence its outcome, either positively or negatively (African Development Bank, 2001).

ABSTRACT

Baseline surveys play a very critical role in the implementation of projects especially donor funded projects in Kenya. Baseline information provides the indicators used to measure and assess project results. However, a number of factors influence effective baseline surveys for donor funded projects. It is upon this premise that this study assessed the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County. The study adopted a descriptive research design, qualitative and quantitative approaches. Additionally, the study targeted 320 participants from three donor funded projects in water, health and sanitation and livelihoods. The target population was comprised of project managers, project officers, stakeholders and beneficiaries. Stratified random sampling was used to select a sample size of 76 participants who were administered with a semi-structured questionnaire for data collection. The collected data was analyzed using both descriptive and inferential statistics. From the study findings, the study established that it is important to carry out stakeholder analysis to assess their influence in baseline surveys (mean=4.143), lack of stakeholder participation at onset of projects leads to adoption of unclear indicators (mean= 3.857), quality of project management team, skills and project organization affects baseline survey (mean=3.971), project teams should possess required technical expertise and skills in baseline surveys (mean= 4.514), baseline survey success is judged by efficiency with which objectives are met within set timelines and budget (mean= 3.971) and that scope and work definition is important in designing effective baseline surveys (mean= 3.943). The study established a strong and significant correlation between stakeholder participation, project team competency, project, project scope and effective baseline survey (r= 0.743, 0.726, 0.698 and 0.685). Further, the study concluded that it is imperative that project baseline surveys ensure transparency and accountability to all stakeholders, the management has a role in meeting stakeholder expectations, effective baseline surveys greatly depend on the human resource capacity, baseline survey funding plays a critical role on their success or failure and scope and work definition are important in designing effective baseline surveys. As a result, the study recommends that transparency and accountability of all baseline survey activities should be maintained by all stakeholders, there should be human resource capacity building to enhance technical expertise and skills development, baseline surveys should be conducted within set timelines and budget, organizations should ensure there is adequate funding because it determines their success or failure and stakeholders should have their sets of indicators for measuring baseline performance.

CHAPTER ONE
INTRODUCTION

1.1 Background of the Study

A baseline survey is a study that is done at the beginning of a project to establish the status quo before a project is rolled out (Estrella & Gaventa, 2010). Baseline surveys collect data at the outset of a project to establish the pre-project conditions against which future changes amongst a target population can be measured. The information gathered in the baseline survey consists of data on indicators specifically chosen to monitor project performance on a regular basis.

Baseline survey also considers the anticipated use of these indicators at a later time to investigate project effects and impacts (Save the Children, 2016).Having an initial basis for comparison helps you assess what has changed over a period of time and if this is a result of the project's presence. Therefore, one must have information about the initial starting point or situation before any intervention has taken place (EU, 2017).

Sometimes baseline data is available, other times a baseline survey is needed to determine baseline conditions. Indicators used in baseline surveys may be qualitative or quantitative. Baseline surveys can also serve to confirm the initial set of indicators to ensure those indicators are the most appropriate to measure achieved project results. Baseline surveys provides the basis for subsequent assessment of how efficiently the activity is being implemented and the eventual results achieved and which has a very big bearing on project performance (Armstrong & Baron, 2013).

At the broad level, multilateral aid organizations, such as the World Bank and IMF and international NGOs such as CARE, World Vision and Oxfam target community development projects that aim to help communities raise their quality of life by seriously considering baseline survey data prior to project commencement (Green & Haines, 2008). The government of Australia has advocated one of the principles of program management and budgeting, with a focus on the efficiency and effectiveness of government programs, through sound management practices, the collection of

performance information, and the regular conducting of program evaluation and baseline studies (Mackay, 2011).

Proper M&E planning and information collection about a situation has been collected at the beginning of the intervention, and then one has baseline data (Hogger et al., 2011). In a baseline survey, values for the identified performance indicators are collected as well. The baseline survey, which aims at collecting baseline data about a situation, is an early element in the monitoring and evaluation plan whose information is used to systematically assess the circumstances in which the project commences (Frankel & Gage, 2007).

Focusing on how project performance can be influenced by M&E, particularly by the baseline survey, a number of authors on M&E have given an account about the importance of baseline surveys. According to Action Aid (2008), baseline surveys are important to any project for the following reasons: It is a starting point for a project - one important and recommended way of starting a project is to carry out a baseline study. Through its results, a baseline serves as a benchmark for all future project activities. Baseline studies are important in establishing priority areas for a project. This is especially true when a project has several objectives. The results of a baseline survey can show how some aspects of a project need more focus than others (Action Aid, 2008).On a point of attribution, Krzysztof et al., (2011) argue that without a baseline, it is not possible to know the impact of a project. A baseline study serves the purpose of informing decision makers what impact the project has had on the target community. The M&E tools used during a baseline survey are normally the same tools used during evaluation (Krzysztof et al., 2011).

As such, conducting a baseline survey means time and other resources for designing evaluation tools must be put into consideration. Other reasons why a baseline survey would be conducted are that it is a donor requirement as part of the project process (Weber & Karl, 2008). Since M&E is integral for any donor to establish future project success, they always compel implementing organizations to carry out baseline surveys. In essence, this helps the donor in future to compare the realization of results as the project progresses.

Unfortunately for some organizations, donor requirement of an M&E becomes the only reason, missing the real reasons why there is need for baseline survey (Nyonje et al., 2012).Where a baseline study is conducted after project activities have already been initiated, the accurate picture of the initial status cannot be reflected since the project is already having some impact, however little. It is therefore always best practice, to conduct a baseline before project implementation (Bamberger, 2008).

Other important considerations to be made before a baseline survey is conducted are the identification of indicators, which are essentially measurable or tangible signs that something has been done or that something has been achieved (UNDP, 2009). Baseline surveys help in the designing of questionnaires and in determining evaluation questions which dictates the type of data to collect and analyze. One other consideration to be made is the target population (Gosling, Lousia, & Edwards, 2009). Like for any other activity in project implementation, for one to carry out a baseline survey, funds are needed.

Almost all researchers of M&E identify funds as a requirement for conducting a baseline survey. Availability of funds will dictate the intensity and scope of the baseline survey. More funds might also mean that both quantitative and qualitative methods are adopted, while limited funds might imply that an organization only goes for quantitative methods (Armonia et al., 2006). After the baseline survey, subsequent monitoring of project progress gathers and analyses data using the same logical framework matrix and tools to compare progress made in achieving the set results of the project.

According to Gray and Larson (2008) a project is a complex non-routine, one life time effort limited by time, budget and resources. However, most organizations are likely to have less budgetary allocation for baseline surveys, monitoring and evaluation for projects. Mbothu (2014) states that due to their limited funds, organizations face notably greater challenges to obtain and run baseline surveys, monitoring and evaluation activities effectively. Effective funds management in projects is determined by parameters which govern funds control such as auditing (Kogan, 2004).

Baseline survey budget can be clearly delineated within the overall project budget (McCoy, 2005). Such targets are influenced by the experiences of the past and expectation of the future (Douglas, 2004).With a well formulated budget, project managers can effectively plan, coordinate, control and evaluates its activities from baseline survey to monitoring and evaluation.

Nevertheless, most donors attach various restrictions to their funding including, among others, sound financial management systems in place, good leadership with integrity, competent staff with experience and the strategic plans of the organization. Organizations lacking these ingredients have difficulties attracting donor funding. Some donors will first assess the capacity of the organization's systems and structures to handle funds before funding can be approved. They also consider if the potential recipient has experience and knowledge to meet deliverables through the results of project baseline surveys (Ali, 2012).

During project planning, discussions on stakeholder participation in preparing budgets, timelines and forming of the baseline survey team should be keenly considered. Lack of stakeholder participation at the onset of project activities may lead to unclear project activities and adoption of poor projects which fail to benefit the community. Failed projects often lack support from the key and primary stakeholders and beneficiaries from inception onwards. Stakeholder involvement makes everyone feel part and parcel of the project, they own the project and take all necessary steps to safeguard the required standards from the outset (Kanua, 2009).

Stakeholder participation is seen as developmental, educative, and integrative and as a means of protecting freedom (Robert, 2004). It is best to involve key stakeholders such as volunteers, community members, local authorities, partners and donors as much as possible in the baseline survey process since their participation helps to ensure different perspectives are considered so that the monitoring and evaluation results can be owned and act as lessons learnt (Gray & Larson, 2008)).

One of the key assumptions of participation is that local residents will be more supportive of the project, and therefore increase the likelihood of its success. Local residents probably have a better knowledge about assets and needs of the community. According to Busiinge (2010) in his research on 'The Impact of Donor Aided Projects

through NGOs on the Social and Economic Welfare of the Rural Poor' reported that interviews with the NGO staff revealed that the communities don't own the projects that they implement and unless there was money or allowances they did not want to participate.

Further, development organizations do not embrace baseline surveys as a precondition for their projects; instead they start project implementation without it. Coninck *et al.*,(2008) supports that claim by stating that baseline surveys are expensive and organizations consider them to have little value. He further states that baseline findings are rarely used for monitoring and evaluation. Instead, many organizations conduct baseline surveys in compliance with donor requirements but do not apply the data for project M & E. M & E itself as a management function consists of four key activities: M&E Planning, M&E Training, Baseline surveys and Information systems (Ogula, 2002).

According to PELUM Uganda (2008), many organizations do not carry out baseline survey at the beginning of their projects. It is done after the project starts or even never conducted at all. In relation to the project cycle, a baseline study should be conducted after the initial needs assessment and project design, but prior to the start of a project. Naidoo (2011) notes that effective project monitoring and evaluation enhances the basis for evidence-based project management decisions.

1.1.1 Status of Baseline Surveys in Kenya

Baseline surveys particularly for donor funded projects have been prompted by donor agencies themselves. Many of these baseline studies are mainly conducted for agriculture, health, water and livelihood projects though they are hampered by limited stakeholder participation, lack of capacity and goodwill. For instance, Mibey (2011) conducted a study on factors affecting implementation of monitoring and evaluation programs in kazi kwa vijana project and recommended that capacity building and enhanced investment in training and human resource development are crucial technical area of monitoring and evaluation.

The study also found that a project implemented without the baseline study faced serious challenges on tracking its' progress effectively on indicators. The study

concluded that youth projects were poorly performing as baseline survey study was minimally done hence it was hard to achieve project goals. In Kenya low or non-participation of local communities and other stakeholder in project identification and selection is one of the challenges facing development projects (NACCSC, 2008).

Baseline Survey Report on Gender Based Violence by the Kenya Women and Children's Wellness Centre (2012) established that grassroots evidence is critical in defining macro level interventions as well for evidence based planning. However, this baseline was proposed by the USAID in 2009 to evaluate the health burdens, generational effects, and demographic consequences of gender based violence. Baseline studies on Constituency Development Fund (CDF) have established that nearly 60% of Kenyans are not involved in project selection or prioritization. Only a minimal 25% of the respondents in the study were involved in same CDF projects in some manner either in project identification, prioritization, project management, or in project monitoring.

1.2 Statement of the Problem

Baseline surveys are very fundamental because they serve as a benchmark for all future project activities. Baseline surveys play a critical role in the success or failure of a project because they define the initial set of indicators which are incorporated into M&E plans to measure project results. Most donors attach various restrictions to their funding to ensure baseline studies are conducted. However, the quality and outcome of baseline surveys for donor funded projects continue to elicit mixed reactions. Some baseline studies have failed to deliver the intended outcomes due to inadequate expertise; capacity and competency of project personnel. Other studies have found that baseline surveys are rarely conducted owing to resource constraints thus making it difficult to develop project tools like the logical framework. Similarly, project failures have been reported by both multilateral aid agencies and NGO projects due to insufficient baseline surveys. Availability of resources means that both quantitative and qualitative methods can be adopted effectively. Still, some NGOs are compelled to conduct baseline surveys just because it's a donor requirement and not a key ingredient in measuring project results. Other conditions are sound financial management systems, staff competency and experience and good leadership. Baseline studies conducted on CDF projects established that 60% of stakeholders are not

involved in project selection or prioritization. Further, stakeholder participation at the onset of projects is important to avoid adoption of unclear project activities and indicators. Additionally, stakeholder participation fosters support and ownership of project indicators and outcomes. As a result, this study assessed the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County.

1.3 Objectives of the Study

This study has both the general and specific objectives.

1.3.1 General Objective of the Study

The study assessed the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County.

1.3.2 Specific Objectives

i. To establish the relationship between stakeholder participation and effective baseline survey for donor funded slum upgrading projects in Nakuru County.
ii. To assess the relationship between project team competency and effective baseline survey for donor funded slum upgrading projects in Nakuru County.
iii. To evaluate the relationship between project cost and effective baseline survey for donor funded slum upgrading projects in Nakuru County.
iv. To determine the relationship between project scope and effective baseline survey for donor funded slum upgrading projects in Nakuru County.

1.4 Research Hypotheses

i. $H_{o1:}$ There is no significant relationship between stakeholder participation and effective baseline survey for donor funded slum upgrading projects in Nakuru County.
ii. H_{o2}: There is no significant relationship between project team competency and effective baseline survey for donor funded slum upgrading projects in Nakuru County.
iii. H_{o3}: There is no significant relationship between project cost and effective baseline survey for donor funded slum upgrading projects in Nakuru County.

iv. H_{o4}: There is no significant relationship between project scope and effective baseline survey for donor funded slum upgrading projects in Nakuru County.

1.5 Significance of the Study

The findings of this study will be very beneficial to multilateral aid agencies, international NGOs and government departments in appreciating the critical role played by baseline surveys in the success or failure of development projects. Further, the implementing agencies and local NGOs will immensely find this study useful especially in realizing the critical importance of stakeholder participation, funding, staff competency and the project scope on baseline studies. The project team, stakeholders and beneficiaries will also benefit from the findings of this study especially on the significance of indicator selection for monitoring and evaluation of development projects being implemented in their communities. The study also aims at providing empirical literature to project management students as a step for further research that will add to the body of knowledge of M&E. Likewise; this study can find its importance among researchers in M&E in the development sector.

1.6 Scope of the Study

This study assessed the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County. Consequently, this study focused on staff competency, stakeholder participation, cost, project scope and their impact on effective baseline surveys for donor funded slum upgrading projects. The study targeted project managers, stakeholders, project officers and project beneficiaries. The study utilized a budget of Kshs. 150000 for a period of 3 months between August and October 2017.

1.7 Limitations of the Study

This study assessed only four variables (stakeholder participation, staff competency, project cost and project scope) and their influence on effective baseline surveys for donor funded slum upgrading projects in Nakuru County. Further, the respondents were a bit reluctant to provide relevant information at the beginning for fear of being exposed or investigated or misused for the benefit of the researcher.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter reviewed the literature relevant to the current study to assess the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County. The chapter purposely looked at theoretical review, empirical review; conceptual framework, critique of the reviewed literature, summary and research gaps.

2.2 Theoretical Review

This section discussed the theories that guided the study on the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County. The theoretical review was based on stakeholder theory and program theory.

2.2.1 Program Theory

The program theory advanced by Suchman in the 1960's and it is often developed during the planning stage of a new intervention. It can also be developed during implementation and even after a programme has finished. When an evaluation is being planned, it is useful to review the programme theory and revise or elaborate it if necessary by asking questions in order to examine the cause-and-effect relationships that create underlying problems. The program theory has been used to guide evaluation for many years; it shows the capability of the program to fix a problem by addressing the needs in the assessment. It also gives tools to determine areas of impact in evaluation (Sethi & Philippines, 2012).

According to Rossi (2004), a program consists of an organizational plan on how to deploy resources and organize activities of the program to ensure that the intended target population receives the intended amount of intervention. The concept of a program theory is similar to the one used in logical models and baseline studies. The program theory hence uses logical framework approach as its methodology (J-Pal, 2003). The difference is that the program theory is a detailed version of the logic model.

The program theory can also be represented graphically through the logical model. The logical model is used in guiding stakeholders' engagement, the management and evaluation of outcomes (Hosley, 2009). Theory of change is part of the program theory that emerged in the 1990s as an improvement to the evaluation theory (Stein & Valters, 2012). A theory of change is a tool used for developing solutions to complex social problems. It provides a comprehensive picture of early and intermediate term changes that are needed to reach a long term set goal (Anderson, 2005).

It therefore provides a model of how a project should work, which can be tested and refined through monitoring and evaluation. A theory of change is also a specific and measurable description of change that forms the basis for planning, implementation and evaluation. Most projects have a theory of change although they are usually assumed (CARE, 2013). The theory of change helps in developing comprehensible frameworks for monitoring and evaluation. However the evaluation community in the United States has traditionally been divided into two camps. Chen (1996) and Donaldson (2003) believe that program theory-based evaluation is the wave of the future and that virtually all evaluations should be conducted in this way.

Further, Scriven (1994, 1997) believe that program theory is usually unnecessary addition of bells and whistles that fails to enhance the quality or value of evaluations. Some think the program theory is simply a flawed approach to evaluation altogether (Stufflebeam, 2001).According to Shackman (1998), because many logic models have a component of "advocacy" tension will lurk. There will always be resistance to including negative consequences no matter how integral they may be to achieving desirable outcomes. Moreover, program models are linear, programs are complex, interactive. At the same time, models are static and programs may change over time. Also, models may not take unexpected consequences into account conflict, power, and control issues. The program theory or model assumes the model is correct

The program theory is very relevant to this study because it is firmly based on the logical model or framework which firmly depends on the indicators identified through a baseline survey. Furthermore, the theory elaborates the role of stakeholder participation, staff competency, project resources (cost) and project scope on the effectiveness of a baseline survey. Thus, this theory underscores the importance of the variables in baseline surveys.

Additionally, Programme theory is very useful in providing a conceptual framework for monitoring, for evaluation, or for an integrated monitoring and evaluation framework. The programme theory brings together existing evidence about a programme and clarifies where there is agreement and disagreement about how the programme is understood to work, and where there are gaps in the evidence. It can be used for a single evaluation, for planning cluster evaluations of different projects funded under a single program, or to bring together evidence from multiple evaluations and research.

2.2.2 Stakeholder Theory

The proponent of this theory was Freeman (1984). A stakeholder according to this theorist is referred to as any group or individual who can be affected or is affected by the achievement of the organization's objectives. The Stakeholder theory addresses morals and values in managing an organization. Project stakeholders are individuals and/or organizations who actively participate in the project or whose interests are likely to be affected by the execution of the project or by successful project completion (PMI, 2004). In addition, Chinyio and Olomolaiye (2010) stated that stakeholders could affect an organization's functioning, goals, development, and even survival.

In particular, the scholars noted that stakeholders could be beneficial when they facilitate the realization of the projects' goals. On the other hand, they may be antagonistic when they oppose the projects' mission. It is further opined that stakeholders are crucial to the successful implementation of projects since their non-commitment to continuously support the vision and/or objectives of the project may lead to the failure. The political philosopher Charles Blattberg has criticized stakeholder theory for assuming that the interests of the various stakeholders can be, at best, compromised or balanced against each other.

Blattberg argues that this is a product of its emphasis on negotiation as the chief mode of dialogue for dealing with conflicts between stakeholder interests. He recommends conversation instead and this leads him to defend what he calls a 'patriotic' conception of the corporation as an alternative to that associated with stakeholder theory.

According to Mansell (2013), by applying the political concept of a 'social contract' to the corporation, stakeholder theory undermines the principles on which a market economy is based. A valid criticism is also that some groups are excluded; originally as they have no economic impact on the business and now as the concept takes an anthropocentric perspective.

Such a perspective does not give plants, animals or even geology a voice as stakeholders, but only an instrumental value in relation to human groups or individuals. This theory will help advance the understanding of all the four objectives touching on stakeholder participation, project team competency; cost and project scope. The project team members, project manager and other members of the project organization are among the key stakeholders in project implementation.

According to Khwaja (2004), participation is attained through collaborative or joint involvement of project beneficiaries and the implementing agencies. The real value of participation stems from the finding that mobilizing the entire stakeholders, rather than engaging people on an individualized basis, leads to more effective results (Braithwaite et al., 2002). Simply said, change "... is more likely to be successful and permanent when the people it affects are involved in initiating and promoting it" (Thompson et al., 2002).

2.2.3 S-curve Theory

Schumpeter (1939) was the first to discover a cyclical pattern in technology trajectories. Only many years later, the S-curve was born. A mathematical model designed to forecast the path of a technology, created by Fisher and Pry (1971) was the start of a research paradigm that is still used. The S-Curve is a form of mathematical theory, which aims to represent the utilization of resources over the proposed time of the project. Simply stated, the curvature illustrates the side by side comparisons of the actual time and expenditure components vs. the proposed time and costs allocations of specific resources. The s-curve allows the progress of a project to be tracked visually over time, and form a historical record of what has happened to date.

Additionally, an S Curve is a display of cumulative costs, labour hours or other quantities plotted against time. The name derives from the S-like shape of the curve,

flatter at the beginning and end and steeper in the middle, which is typical of most projects. The beginning represent a slow, deliberate but accelerating start, while the end represents a deceleration as the work runs out (Wideman, 2001).

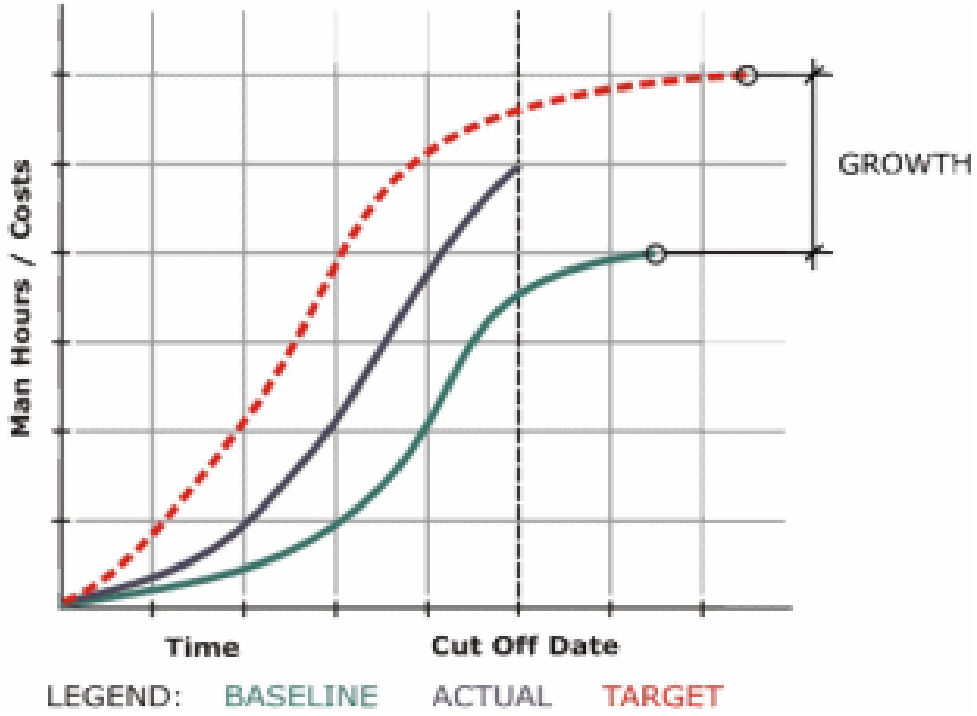

Figure 2. 1: S-curve for Project Growth

Analyses of S-curves allow project managers to quickly identify project growth, slippage, and potential problems that could adversely impact the project if no remedial action is taken. As a tracking tool, comparisons of different S-Curves against the standard S-Curve help in monitoring the growth or progress of the project. Data that is simultaneously plotted in graph form will clearly present how efficiently the team has performed so far, in accordance with the time or budget limitations. Two or more curved lines running symmetrically should both be flat at the beginning and become steep in the center and become flat again towards a convergence at the project's completion date. This is how most project timelines would be depicted. The slippage is the difference between the scheduled start or finish date for a task and the baseline start or finish date. Slippage can occur when a baseline plan is set and the actual dates subsequently entered for tasks are later than the baseline dates or the actual durations are longer than the baseline schedule durations. The model is relevant to this study especially in explaining the impact of project cost and scope on carrying out effective baseline surveys.

However, the S curve has its own limitations in that it does not give a clear hint to managers on how to react or act in cases of technological discontinuity in projects, it cannot be inferred from the model how big gains will be from adoption of new technologies in projects, the model does not imply when to invest and that the model gives a generalization of an observation in the project.

2.3 Empirical Review

This section reviewed the relevant literature on the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County.

2.3.1 Relationship between Stakeholder Participation and Effective Baseline Survey

Almost any person or organization with an interest in a project can be termed a stakeholder. Each project has its own unique set of stakeholders. The type and interest of a stakeholder are of great interest to the project manager since they enable him to use these to the greatest benefit of the project especially during the baseline surveys. It is therefore important that he carries out a stakeholder analysis to list, classify and assess the influence of the stakeholders (Albert, 2007).

The view point of every stakeholder should be considered as very important (Cleland &Ireland, 2007). It has also been noted that projects often undermine what people know and they participate for formality reasons and not because they believe in the project (Busiinge, 2010). Managing Stakeholders, teamwork among members and monitoring the progress of the project work are some of the key processes used to manage the projects. According to Georgieva and Allan (2008), a good monitoring team is the one that has good stakeholders' representation. Likewise an M&E team which embraces teamwork is a sign of strength and an ingredient for better baseline surveys and project performance. Not only does best practices require that projects are monitored for control but also project stakeholders require transparency, accountability for resources use and impact, good project performance and organizational learning to benefit future projects (Ika, 2009).

Stakeholder involvement makes everyone feel part and parcel of the project, they own the project and take all necessary steps to safeguard the required standards (Kanua, 2009). Furthermore, lack of stakeholder participation at the onset of project activities

leads to adoption of unclear project activities. Similarly, adoption of poor projects often fails to benefit the involved beneficiaries. These projects often lack support from the key and primary stakeholders and beneficiaries.

The success or failure of a project is directly related to its goals and objectives which form the baseline to measure the degree of success or failure. However, there is no simple success or failure of a project because successes do not meet all stakeholders' expectations and failures provide some benefits albeit perhaps at a cost that is more than expected (Cleland & Ireland, 2007). Kyriakopoulos (2011) elucidates that it is important to carry out frequent monitoring and perform focused reviews involving all the stakeholders in keeping the project on tract. The three most cited factors for project failure are: lack of stakeholder engagement, lack of communication, and lack of clear roles and responsibilities.

Cutting corners in project planning is a recipe for disaster, no matter what the reason is. The initiation phase is critical to the success of the project as it establishes its core foundations. Effective project planning takes into consideration all aspects of stakeholder engagement, benefits mapping, risk assessment, as well as the actual plan which is informed by baseline studies. Stakeholder participation right from the onset of the project is critical as it ensures that the community owns up the project which is viewed as one of the factors that could ensure project success (Marangu, 2012).

Yang et'al (2009) analyzed the various factors which are critical to the success of a project most which were centered on managing stakeholders. Assessing attributes (power, urgency, and proximity) of stakeholders, compromising conflicts among stakeholders effectively, formulating a clear statement of project missions, predicting stakeholders' reactions for implementing the strategies and analyzing the change of stakeholders' influence and relationships during the project process is very important. Yang's critical success factors were mainly focused around the stakeholder's management. It's the role of management to look into the affairs of stakeholders.

The singular unifying characteristic new and complex projects possess is the inability for all stakeholders to be on the same page in order to envision the same outcome. Good project managers therefore must identify all the stakeholders and ensure, through good communication, that stakeholders have clarity of the project's

objectives and outputs. Before detailed planning takes place, stakeholder agreement for the project‘s outputs are obtained during the baseline surveys (Chen et al., 2007).

2.3.2 Project Team Competency

Most donors attach various restrictions to their funding including, among others, sound financial management systems in place, good leadership with integrity, competent staff with experience and the strategic plans of the organization. Organizations lacking these ingredients have difficulties attracting donor funding. Some donors will first assess the capacity of the organization’s systems and structures to handle funds before funding can be approved. They also consider if the potential recipient has experience and knowledge to meet deliverables (Ali, 2012).All of these soft skills are related to the inter-personal competency of the project manager and are extremely important to project success.

As a result, project managers should strive to enhance their capacity to lead, motivate, inspire, mediate, communicate and encourage (Ruuska, 2007).A comprehensive project plan will not rely solely on the inter-personal skills of the project manager to ensure success in managing people. Instead, a comprehensive project plan will identify the concrete activities required to proactively manage all elements of the project team. These concrete activities will be implemented starting with baseline surveys.

Acquiring project team as part of the function of managing the team, the project team leader must be clear on the systems for identifying staff candidates, interviewing candidates, identifying selection criteria and making final selections of project staff. Gharashe (2009) concluded in his study on analysis of factors influencing projects in Kenya that the quality of project management, operating environment, worker motivation, communication, inadequate resources and organization of the project team as factors affecting project.

Mwadali (2006) conducted a case study on major factors that affect project management locally. He concluded that inexperienced project managers, poor communication, poor monitoring and control systems negatively affected the project management efficiency. A motivated team usually achieves high performance (Zaccaro et al., 2002). This implies that the more a team is strengthened, the better the

performance and value addition to the organization. This also applies to the monitoring and evaluation teams in project management. These aspects include: Financial availability, number of monitoring staff, monitoring staff skills, frequency of monitoring and stakeholders representation (Naidoo, 2011).

There is need to have an effective M&E human resource capacity in terms of quantity and quality, hence a competent human resource management is required in order to maintain and retain a stable M & E staff (World Bank, 2011). This is because competent project teams are also a major constraint in conducting baseline surveys and selecting M&E systems (Koffi-Tessio, 2002). Baseline surveys and M&E being a new professional field faces challenges in effective delivery of results and therefore a great demand for skilled professionals, capacity building of M&E systems and harmonization of training courses as well as technical advice (Gorgens & Kusek, 2009).

The UNDP (2009) handbook on planning, monitoring and evaluation for development results, emphasizes that human resource is vital for an effective baseline survey, monitoring and evaluation. It states that staff working should possess the required technical expertise and skills in the area in order to ensure high-quality monitoring and evaluation.

Implementation of an effective M&E and by extension baseline survey team demands that the staff to undergo training as well as possess skills in research and project management and thus capacity building is critical (Nabris, 2002). Capacity building is useful since they provide the project staff with ways of becoming efficient, effective and have impact on the projects (Shapiro, 2011).

2.3.3 Project Cost

Project financing includes the processes required to ensure that the project is completed within the approved budget (PMBOK, 2008). Cost is often measured in monetary terms. 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. In assessing the project duration, the duration of individual activities and resource usage have been optimized and further reduction of project

duration must increase the direct cost of the project due to overtime and uneconomic use of the plants and machineries.

Cost estimating is never simple. Project managers must recognize that time, cost and resource estimates must be accurate if project planning, scheduling, and controlling are to be effective. Similarly, the successes of baseline surveys firmly depend on the availability of funds. Mbothu (2014) posited that due to their limited funds, organizations face notably greater challenges to obtain and run monitoring and evaluation activities effectively. Kelly and Magongo (2004) argue that monitoring and evaluation budgets in which baseline surveys are premised should be about 5% to 10% of the total project budget.

Project cost budgeting involves allocating the project cost estimate to individual work items. A properly constructed budget must be capable of being baselined and used as the basis for performance measurement and control. It must reflect the way that resources are applied to achieve planned objectives over time. It must be structured in relation to the build-up of estimates, and to the collection of actual estimates.

The advantage is that the line supervisors will be responsible to ensure that the project work activities as estimated by them would be achievable (West, 2008).Related to cost aspect of measuring project success, is technical performance. Baker et al., (2008) identified technical performance as one of the project success factors among others such as schedule performance and cost performance. In converting an estimate to a control budget, two important differences should be considered. First, the organization and the categorization of costs suitable for preparing an estimate for baseline studies are often not compatible with realistic field cost control. Second, estimates must deal in averages, whereas tighter standards are sometimes desirable for control purpose.

Once the key stages of the project have been identified and the logic developed, the budget can be divided and apportioned to each stage. Operating budget is derived from the work breakdown structure, initially focused on the key stages of the plan. Cost for each key stage including baseline survey is assessed based on the level of details developed and identified at the time. As the detailed budget for each key stage is derived, we must compare the total with the project budget and analyze the

variance. Any negative deviations must be subject to close scrutiny and action planning to determine what action, if any, be taken to contain the situation (Stier & Kjellin, 2009).

Effective control of cost gives the opportunity to forestall inevitable cost escalation, foresee potential problems and take advantage of possible savings. Cost is best controlled at source and designed into the project, not inspected in after the event. This helps to resolve problems before they occur and to respond quickly to those that do occur.

Ashley et al., (2007) did a study on the analysis of project implementation success and concluded that effective project implementation is repeatable and require a great deal of work to understand it for achieving cost effectiveness and competitive position. Flyberg et al., (2004) investigated causes of cost overruns on projects and concluded that it was dependent on length of implementation phase, the size of the project, and the type of ownership. Mansfield et al., (2006) studied the causes of delay and cost overruns in projects in Nigeria. They concluded that poor contract management, financing and payment arrangements, resource shortages, inaccurate estimates and overall price escalation as the major factors.

Kagiri (2005) conducted a case study on time and cost overruns in projects locally and concluded that vendor inabilities, improper project preparation, resource planning, interpretation of requirements, works definition, timeliness, government bureaucracy and poor risk allocation as the major factors that lead to delay and cost overruns.

2.3.4 Project Scope

The objective of all project planning activities is to develop a realistic plan and if padding is required, it must be done on a task by task basis within the project scope. There will always be some variation in working times, caused by external factors outside the control of the project team (Brown, 2011). The quality of projects and project information has a significant influence project success (Raymond & Bergeron, 2008). Closely related to the quality and technical requirement dimensions is the project scope. Project completion within scope is considered as one of the success factor.

The project charter or statement of work requires the implementers to develop a scope of work that is achievable in a specified period and that contains achievable objectives and milestones (Bredillet, 2009).To identify baseline survey planning effort; project team motivation; project manager goal commitment; project manager technical capabilities; control system; and scope and work definition as the important factors.

In this way, baseline surveys contribute to influencing project performance if the project manager is able to interpret the results of M&E correctly. In the design phase, the purpose of the baseline survey is clarified, the objectives and questions are defined and decisions are made on the design, methodology and scope. It is also important to recognize that a project may begin to affect baseline conditions prior to the formal project start (International Federation of Red Cross, 2013).

Isensi (2006) analyzed factors that lead to failure of projects in Kenya and established that poor design, poor methods, inadequate experience, underestimation of project duration, scope and poor cost estimation as the factors that caused failure of most projects. PMBOK (2001) explains that project success is measured by product and project quality, timeliness, budget compliance, and degree of customer satisfaction. Ling et al., (2009) also assessed scope management, time management, cost management, quality management, risk management, human resource management, procurement management, and integration management in relation to project success where he established the there were significant associations. Time dimension of assessing project success is the most common aspect brought out in the literature review regarding project scope.

Pretorius et al., (2012) found out that project management organizations with mature time management practices produce more successful projects than project management organizations with less mature time and scope management practices. Project time is the absolute time that is calculated as the number of days/weeks from start on site to practical completion of the project. Speed of project implementation is the relative time (Chan, 2001).Project performance is traditionally measured using the "golden triangle", which means completing the project on time, within budget and to specification (PMI, 2004).

2.4 Effective Baseline Survey

Baselines generate information that becomes a starting point in measuring the performance and setting realistic targets (Kusek, 2004). To measure the extent to which changes have been achieved in the target beneficiaries, baseline information of their needs is a must. Shapiro (2009) confirmed that it is difficult to measure the impact of a project if the nature of the situation was not known at the beginning of the project. Result Based Monitoring and Evaluation call for attention to be given to baseline information. Baseline survey allows the project team to assess pre-project conditions and set specific targets for the indicators identified to measure the results.

Sometimes a baseline study is required well before a project start to inform project development (according to donor requirements) providing the basis for any investment decision to be made. It can also improve project design and use of project design tools such as the logical framework results in systematic selection of indicators for monitoring project performance (Fapohunda & Stephenson, 2010).

The logical framework hence shows the conceptual foundation on which the project M&E system is built (Chaplowe, 2008). It also works well with other M&E tools (Jaszczolt et al., 2010). The community and stakeholder participation in planning process involves a variety of actors with different roles and responsibilities in the planning phase (Omolo, 2011). Project planning activities include developing of baseline plans such as; the specification of required project resources and their allocation; and the determination of the methods to be used to deliver the project end product, respond to critical events and evaluate activities and time schedule (Ntuala, 2010).

Uitto (2004) defines monitoring briefly as a continuous function that aims primarily to provide, management and stakeholders with early indicators of project performance of a project and progress (or lack therefore) in achievement of the results. The benefits of stakeholder involvement in the baseline survey and planning process include a reduction in distrust of the project process or outcome, an increase in commitment to the project objectives and processes, and heightened credibility. Most, if not all, projects go through a life cycle which varies with the size and complexity of the project.

The life cycle for medium to large projects generally follow the pattern: conception, feasibility, evaluation, authorization, implementation, completion, operation and termination (Albert, 2007). Besides, projects are influenced by a multiplicity of factors which can be external or internal to the organization responsible for its management and execution.

These include poor project management, inadequate opportunities for potential beneficiaries to participate in project identification and design, poor linkages between project activities and project purpose and insufficient attention to external environment during project design. There is therefore the need for the stakeholders involved in a project to have a set of indicators of project performance while the project is in progress (Mishra, 2005). Project management life cycle activities according to the traditional approach are a sequence of steps to be completed.

The steps include five developmental components of a project can be distinguished (four stages plus control): initiation, planning and design, executing, monitoring and controlling and closing. PMI (2004) identifies the project management life cycle into: Conception phase, definition phase, planning and organizing phase, implementation phase and project clean-up phase. Project success requires a combination of product successes and project management success that is the product (services, results or outcome) of the project if it is a success and if the project is well managed (Kerzner, 2009).

For example failure to complete the planned activities as scheduled at every stage of project life cycle could doom an otherwise successful project to fail. Furthermore, a baseline study is necessary for most activities as it is important to find out what information is already available. If baseline information will not be used (or subsequently replicated) to improve the quality of activity implementation or to measure development results.

Then the reason for collecting the data should be seriously questioned (USAID, 2011). Baseline data should provide only the minimum information required to assess the key aspects of quality of the activity delivery and measure the development results of a project. Anything more than this is likely to be a waste of time, effort and resources and risks making the baseline study not replicable (UNDP, 2010).

2.5 Conceptual Framework

This section discussed the conceptual framework for analyzing the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County. The relationships between the independent variables (stakeholder participation, project team competency; cost and project scope) and dependent variable (Effective baseline survey) are summarized as shown in Figure 2.2

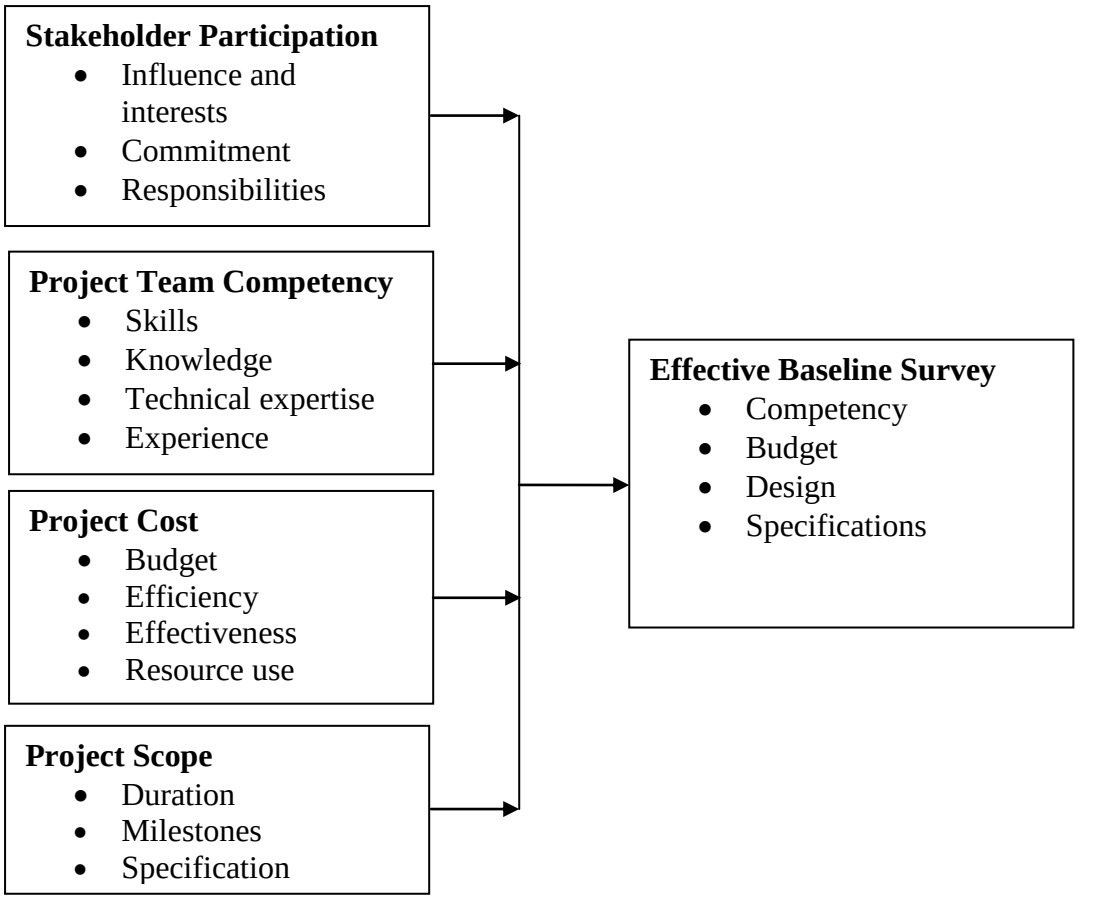

Figure 2. 2: **Conceptual Framework**

2.6 Research Gaps

Stakeholder participation ensures that there is ownership of the project and its outcomes but some participate for formality reasons and not because they believe in the project (Busiinge, 2010). Project stakeholders require transparency and accountability for resources use. Further, adoption of poor projects often fails to benefit the involved beneficiaries (Kanua, 2009).

These projects often lack support from the key and primary stakeholders and beneficiaries. Stakeholders' expectations and failures provide some benefits albeit perhaps at a cost that is more than expected. Project failure results from lack of stakeholder engagement, lack of communication, and lack of clear roles and responsibilities (Marangu, 2012).

It's the role of management to look into the affairs of stakeholders in projects. However, managing stakeholder interests is not an easy task especially for project managers. Some projects often undermine stakeholder participation and their effort to contribute to the baseline surveys. Furthermore, lack of stakeholder participation at the onset of project activities leads to adoption of unclear project activities. However, it's not possible to meet all stakeholders' expectations in a project. Further, not all project managers have the capacity to identify, classify and manage the affairs of stakeholders.

For baseline surveys to be successful, project team must have integrity, competency and experience (Ali, 2012). Organizations lacking these ingredients have difficulties attracting donor funding. Project team competency determines whether a project is funded or not because experience and knowledge to meet deliverables is very critical. Inexperienced project managers, poor communication, poor monitoring and control systems negatively affect the project management efficiency (Mwadali, 2006).The success of projects is judged by the efficiency with which we achieve the project objectives and that efficiency within cost and duration. Project managers must recognize that time, cost and resource estimates must be accurate (Brown, 2011). It must reflect the way that resources are applied to achieve planned objectives over time.

Cost of conducting baseline studies is directly linked with technical performance. Project operating budget is derived from the work breakdown structure which takes time to analyze. Effective control of cost gives the opportunity to forestall inevitable cost escalation (PMI, 2004).Project scope often experiences some variation in working times, caused by external factors outside the control of the project teams (PMBOK, 2001).Project completion within scope is considered as one of the success factor. Scope is closely related to the quality and technical requirement dimensions. Project scope and poor cost estimation are some of the factors which cause failure of

most projects. Completing the project on time, within budget and specifications defines the project scope requirements.

2.7 Summary of Reviewed Literature

In order to conduct successful baseline surveys, it is important to carry out a stakeholder analysis list, classify and assess the influence of each the stakeholders. A good monitoring team is the one that has good stakeholders' representation. Stakeholder involvement makes everyone feel part and parcel of the project, they own the project and take all necessary steps to safeguard the required standards.

The three most cited factors for project failure are: lack of stakeholder engagement, lack of communication and lack of clear roles and responsibilities for stakeholders. Donor funding takes into great consideration the competency of the project teams to meet and deliver objectives before approving funds. The potential recipient of donor funds must have experience and knowledge to meet deliverables.

All of these soft skills are related to the inter-personal competency of the project manager and are extremely important to project success. However, inexperienced project managers, poor communication, poor monitoring and control systems negatively affect project management efficiency. Cost is often measured in monetary terms. The success of projects is judged by the efficiency with which we achieve the project objective. Cost estimating is never simple. Project managers must recognize that time, cost and resource estimates must be accurate if project planning, scheduling, and controlling are to be effective.

A properly constructed budget must be capable of being baselined and used as the basis for performance measurement and control. The quality of projects and project information has a significant influence project success. Closely related to the quality and technical requirement dimensions is the scope. Project completion within scope is considered as one of the success factors of a project. PMBOK explains that project success is measured by product and project quality, timeliness, budget compliance, and degree of customer satisfaction. Project performance is traditionally measured using the "golden triangle", which means completing the project on time, within budget and to specification.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter dealt with the description of the methods which were applied in carrying out the research study and covers: research design, the target population, sampling frame, sample size and sampling technique, research instruments, data collection procedure, pilot study, data processing and analysis.

3.2 Research Design

The research design constitutes the blue print for the collection, measurement and analysis of data, (Kothari, 2005). The study adopted a descriptive design. This method was preferred because it is efficient for collecting descriptive data regarding characteristic of a sample of a population, current practices, conditions or needs. Further, the study employed both qualitative and quantitative approaches by using a semi-structured questionnaire.

3.3 Target Population

Target population refers to the entire group of individuals or objects from which the study seeks to generalize its findings (Cooper & Schindler, 2008). This study targeted 320 participants comprising of project managers, stakeholders, project officers and beneficiaries as illustrated in Table 3.1. The participants were drawn from three donor funded projects in water, health and sanitation and livelihoods improvement.

3.4 Sampling Frame

A sampling frame is a list of all the items where a representative sample is drawn from for the purpose of research. Sampling must be so large that it allows the researcher to feel confident about the sample representativeness and it allows the researcher to make inferences of the sampling frame and the entire population (Silverman, 2005). The sample frame for this study constituted of all the 320 project participants as shown in Table 3.1.

Table 3. 1: Sampling Distribution

Stratum	Total Population	Percentage %
Project Managers	20	6.3
Project Officers	62	19.4
Stakeholders	48	15.0
Beneficiaries	190	59.3
Total	**320**	**100.0**

Source: NGO Council (2017)

3.5 Sample Size and Sampling Technique

A sample size of 76was randomly selected from the target population of 320 participants using the mathematical approach developed by Nassiuma (2000).

$$n = \frac{NC^2}{C^2 + (N-1)e^2}$$ **……Equation (3.1)**

n = sample size;

N = population size;

C = coefficient of variation which is 50%

e = error margin which is 0.05.

$$n = \frac{320\ (0.5)^2}{0.5^2 + (320-1)0.05^2}$$

$$n = 76$$

The study used a stratified random sampling technique to draw sample participants from the target population. Bryman and Bell (2007) have pointed out that stratified sampling "ensures that the resulting sample is distributed in the same way as the population in terms of the stratifying criterion". Stratified sampling gives flexibility to the researcher to make a decision on identification and allocation of the units for the strata. It also gives possibilities to use and make more than just one stratifying criterion.

Table 3.2: Sample Size

Strata	Target Population (N)	Sample (n)
Project Managers	20	5
Project Officers	62	15
Stakeholders	48	11
Beneficiaries	190	45
Total	**320**	**76**

3.6 Research Instruments

The study used a semi-structured questionnaire to collect data from the sampled participants. Questionnaires are research instruments used to collect information geared towards addressing specific objectives (Kombo et al., 2002). The close-ended questionnaire items were scaled on a five point Likert scale and accompanied by open-ended questions. The study also used an interview schedule for project managers, key stakeholders and beneficiary leaders participating in the donor funded slum upgrading projects in Nakuru County.

3.7 Data Collection Procedure

Data collection is defined by Kombo et al. (2002) as the process of gathering specific information aimed at proving or refuting some facts. The importance of data collection is to promote decision making and response allocation that is based on solid evidence rather than on isolated occurrences or assumptions. The sampled participants were pre-contacted for briefing about the intention and purpose of the study through an introduction letter and also through telephone calls. The questionnaires were administered on a drop and pick later basis. Follow up was done after one week to collect data. An interview schedule was used to interview project managers, key stakeholders and beneficiary leaders participating in the donor funded slum upgrading projects in Nakuru County.

3.8 Pilot Test

A pilot test was conducted in Kisumu town to purposely test for validity and reliability of the research instrument because slums in Kisumu and Nakuru share

similar demographic characteristics. According to Sukaran (2010), content validity is a function of how well the dimensions or elements of a concept have been captured. Reliability test on the other hand looks at the ability of research instruments to give consistent results over and over again (Kombo et al., 2002). Mugenda and Mugenda, (2003) recommends that 10% of the sampled participants be considered as a sample size in a pilot study. Thus, a sample of 8 participants representing all the strata was involved in the pilot study.

3.8.1 Validity Test

Validity is the degree to which an instrument measures what is supposed to measure (Kothari, 2004). It is the degree to which results obtained from the analysis of the data actually represent the phenomenon under study. Validity was enhanced through appraisal of the research tools and verification by the researcher in consultation with research supervisor. Furthermore, the questionnaire was subjected to pre-test to detect any deficiencies in it. Comments and suggestions made by the pre-test respondents were incorporated in order to address any insufficiencies or ambiguities in the questionnaire.

3.8.2 Reliability Test

According to Kombo & Tromp (2006), reliability is the extent to which results are consistent overtime. Reliability test was done using Cronbach Alpha coefficients to test the questionnaire and check the consistency of the responses to the questions. However, reliability in research is affected by random errors, the pre-test of the questionnaire helped to identify the most likely source of errors. Cronbach's Alpha correlation coefficient greater or equal to 0.7 was accepted (George & Mallery, 2003).

3.9 Data Processing and Analysis

Data analysis refers to examining what has been collected in a survey or experiment and marking deductions and inferences (Kombo et al., 2002). It involves scrutinizing the acquired information and making inference. Organization is putting the collected data into some systematic form (Mugenda & Mugenda, 2003). The data collected was edited, collated to eliminate errors and coded for analysis using the Statistical Package for Social Sciences (SPSS version 23) tool. The data was analyzed both quantitatively and qualitatively. The interview schedule was grouped into themes based on the objectives and analyzed using content analysis. Descriptive and inferential analyzes

were conducted to draw inferences on the study objectives. The following regression model was used to test the statistical significance of the relationship between the independent and dependent variables.

$Y = \propto + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4 + \varepsilon$ ……Equation (3.2)

Where: Y is the dependent variable (Effective baseline survey), $\propto$ is the regression coefficient/constant, β_1, β_2, $\beta_3$and $\beta_4$are the coefficients of the linear regression equation.

X_1 represents stakeholder participation;X_2 represents project team competency;X_3 represents project cost and X_4 represent project scope

CHAPTER FOUR

RESEARCH FINDINGS AND DISCUSSION

4.1 Introduction

This chapter presents the research findings and discussions of the study objectives using descriptive and inferential statistics. The aim of the study was to assess the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County. The specific objectives of the study were to establish the relationships between: stakeholder participation, project team competency, project cost, project scope and effective baseline survey for donor funded slum upgrading projects in Nakuru County.

4.2 Response Rate

According to Emore (2007), response rate is the extent to which the final data set includes all sample members, a ratio of actual respondents to expected number or the percentage of people who respond to the survey. This study targeted 76 participants out of which 68 participants completely filled and returned the questionnaires. This translated to a response rate of 89.5%. The high response rate was achieved due to constant reminder and close follows ups of the sampled participants. A high response rate ensures that the survey results are representative of the target population. The use of the drop and pick later method of administering questionnaires improved the response rate. Zikmund et al., (2010) observed that in descriptive research, a response rate of above 50% is adequate for analysis, 60% good and 70% and above to be very good. Mugenda and Mugenda (2008) posited that a response rate of 50% or more is adequate.

4.3 Reliability Test Results

A pilot study was conducted in Nyalenda and Manyatta slums in Kisumu town suburbs to test the reliability of the research instrument (questionnaire). A Sample size of 8 participants (10% of sample) as recommended by Mugenda and Mugenda (2003) was selected from two projects (health and water). The participants comprised of 1 project manager, 2 Project officers, 2 stakeholders and 3 Beneficiaries. The response rate was 100%. The Cronbach's Alpha Test was then conducted on all the study variables and the results gave Cronbach's Alpha values greater than 0.7 as

shown in Table 4.1. Field (2005) observes that a Cronbach's $\alpha > 0.7$ implies that the research instrument provides a good measure. Further, George and Mallery (2003) posited that Cronbach correlation coefficients greater or equal to 0.7 are adequate and acceptable. The results of the pilot test were not included in the final data analysis of the study.

Table 4. 1: Reliability Test Results

Variable	Number of Items	Cronbach's Alpha Value
Stakeholder Participation	7	.744
Project Team Competency	6	.730
Project Cost	6	.778
Project Scope	6	.740
Effective Baseline Survey	5	.732

4.4 Participant's Demographic Profile

This section describes characteristic of the study population based on the data collected and analyzed. In particular, the study sought to find out the gender distribution, age categories, positions held in donor funded slum upgrading projects, highest level of education and experience with donor funded projects in Nakuru County.

4.4.1 Gender Distribution of the Participants

This section investigated the participant's gender and the findings presented in Table 4.2 indicate that 33 (48.5%) of the respondents were male while 35 (51.5%) were female. The findings indicate that donor funded slum upgrading projects have relatively more female participants than the male. Thus, the study benefited from a variety of viewpoints, ideas and insights especially from female participants in providing the information sought by the study on determinants of effective baseline survey in Nakuru.

Table 4. 2: Gender Distribution of the Participants

Gender	Frequency	Percent (%)
Male	33	48.5
Female	35	51.5
Total	**68**	**100.0**

4.4.2 Age Categories of the Participants

This section sought to find out the age categories of the participants. From the findings presented in Table 4.3 shows that 8 (11.8%) of the participants were aged between 20-25years of age, 18 (26.5%) were aged 26-30 years and 31 (45.6%) were aged between 31 to 35 years, 10 (14.7%) were aged between 36-40 years and 1 (1.4%) were aged 40 years and above. The results imply that majority of the participants were youths. The relatively young age implied that the participants were more exposed to more information regarding the topic and thus adequately answered the questions of the study.

Table 4. 3: Age Categories of the Participants

Age in years	Frequency	Percent (%)
20-25 years	8	11.8
26-30 years	18	26.5
31-35 years	31	45.6
36-40 years	10	14.7
40 years and above	1	1.4
Total	**68**	**100.0**

4.4.3 Positions Held in Donor Funded Slum Upgrading Projects

The study further sought to determine the positions held by the participants in the donor funded slum upgrading projects as shown in Table 4.4.From the result, 3 (4.4%) were project managers, 8 (11.8%) were project officers and 16 (23.5%) were stakeholders while 41 (60.3%) were beneficiaries. The results shows a relatively balanced distribution of the participants in the sample size implying the study benefited from a variety of opinions and responses from both the project officials, stakeholders and beneficiaries.

Table 4. 4: Positions Held in Donor Funded Slum Upgrading Projects

Position	Frequency	Percent (%)
Project Manager	3	4.4
Project Officer	8	11.8
Stakeholder	16	23.5
Beneficiary	41	60.3
Total	**68**	**100.0**

4.4.4 Education Level of the Participants

The study further sought to assess the education levels of the participants and the findings are illustrated in Table 4.5.The findings indicate that 22 (32.4%) had attained Kenya Certificate Secondary Education certificate level of education, 25 (36.8%) had attained certificate level of education, 18 (26.5%) attained diploma level of education while 3 (4.3%)were university graduates. The findings imply that majority of the participants were adequately educated and therefore were able to provide the required information through the questionnaires. These results imply that majority of the respondents have a good education background and therefore they were able to comprehend and answer the questions adequately.

Table 4. 5: Education Level of the Participants

Level of Education	Frequency	Percent (%)
KCSE Certificate	22	32.4
Certificate	25	36.8
Diploma	18	26.5
University Graduate	3	4.3
Total	**68**	**100.0**

4.4.5 Participants' Experience with Donor Funded Slum Upgrading Projects

The study further required the participants to indicate their experience with donor funded slum upgrading projects as illustrated in Table 4.6.The results show that 24 (35.3%) had worked for less than one year with donor funded projects, 20 (29.4%) had worked for between 1 to 5 years, 19 (27.9%) had worked for between 6 to 10 years and 5 (7.4%) had worked for over 10 years respectively. The participants' work experience was important in this study because it ensured that the study questions were answered depending on varied level of knowledge and exposure at all levels. Given that majority had worked for more than one year implied that they had relevant knowledge for the study.

Table 4. 6: Participants' Experience with Donor Funded Slum Upgrading Projects

Duration	Frequency	Percent (%)
Less than 1 year	24	35.3
1-5 years	20	29.4
6-10 years	19	27.9
Above 10 years	5	7.4
Total	**68**	**100.0**

4.5 Descriptive Analysis

Descriptive analysis focuses on describing the basic features of data in a given study (Cooper & Schindler, 2013). This section presents data analysis results on stakeholder participation, project team competency; project cost and project scope and how they influence effective baseline surveys. ALikert scale of 1-5 with 1= "Strongly disagree", 2= "Disagree", 3= Neutral, 4= "Agree", and 5= "Strongly Agree" was used. The analysis used the mean, standard deviation and percentages. A standard deviation of less than 1 implies the participants had unified or cohesive responses while standard deviations greater than 1 imply the participants had divergent opinions in their responses.

4.5.1 Influence of Stakeholder Participation on Effective Baseline Survey

The first objective of this study sought to establish the influence of type and interests of stakeholders have a great impact on baseline surveys. The findings illustrated in Table 4.7 indicate that the majority of the participants with a mean score of 4.457 and standard deviation of 0.657 were strongly in agreement with the intent of the statement.

The second statement sought to determine whether it is important to carry out stakeholder analysis to assess their influence in baseline surveys. A mean score of 4.143 and standard deviation of 0.648 indicate that the majority were in agreement in their responses to the statement. The third statement sought to determine whether some stakeholders participate in baseline surveys for formality reasons. The mean response score was 2.543 with a standard deviation of 1.314implying the majority were in disagreement with the statement. According to Cleland and Ireland (2007), the view point of every stakeholder should be considered as very important.

The fourth statement required the participants to provide information on whether stakeholders require transparency, accountability for resource use in baseline surveys. The mean score of 4.571 and standard deviation of 0.739 points out that the majority of participants were strongly in agreement in their responses to the statement. The fifth statement sought to establish whether stakeholder participation leads to ownership of baseline survey outcomes and indicators. A mean score of 2.971 and standard deviation of 1.272 indicate that the majority of the participants were impartial and had divergent opinions in their responses.

The sixth statement asked the participants whether lack of stakeholder participation at onset of projects led to adoption of unclear indicators. The mean score of 3.857 with a standard deviation of 1.033 imply the majority were in agreement with the statement. The finding is congruent to Kanua (2009) who posited that stakeholder involvement makes everyone feel part and parcel of the project, they own the project and take all necessary steps to safeguard the required standards.

Table 4. 7: Influence of Stakeholder Participation on Effective Baseline Survey

Stakeholder Participation	N	SA	A	N	D	SD	Mean	S.D
1.Type and interest of stakeholders have a great impact on baseline surveys	68	50%	29.4%	8.8%	4.4%	7.4%	4.457	.657
2. It is important to carry out stakeholder analysis to assess their influence in baseline surveys	68	20.6%	50%	14.7%	8.8%	5.9%	4.143	.648
3. Some stakeholders participate in baseline surveys for formality reasons	68	11.8%	11.8%	23.5%	27.9%	25%	2.543	1.314
4. Stakeholder require transparency, accountability for resource use in baseline surveys	68	70.6%	10.3%	10.3%	4.4%	4.4%	4.571	.739
5. Stakeholder participation leads to ownership of baseline survey outcomes and indicators	68	10.3%	17.6%	44.2%	10.3%	17.6%	2.971	1.272
6. Lack of stakeholder participation at onset of projects leads to adoption of unclear indicators	68	23.5%	57.4%	8.8%	5.9%	4.4%	3.857	1.033
7. It is the role of management to look into the affairs of stakeholders and their expectations	68	39.7%	39.7%	8.8%	5.9%	5.9%	4.371	.646

The seventh statement sought to find out whether the management has a role to look into the affairs of stakeholders and their expectations. A mean score of 4.371 and

standard deviation of 0.646 indicate that the majority of the participants were in agreement with the statement in their responses. The study also asked the participants to indicate which factors affect stakeholder participation in baseline surveys for donor funded projects in Nakuru County. From the responses, majority of the participants were of the opinion that access to information, level of education and training, availability of resources, different stakeholder interests and type of stakeholder management approach adopted affect stakeholder participation in donor funded slum upgrading projects.

The interview schedule asked the participants to explain why it is important to carry out stakeholder analysis for baseline surveys. Participant C indicated that …" stakeholder analysis introduces the different types of stakeholders, assesses their needs and mitigates negative impacts in the long run". Other participants felt that stakeholder analysis builds good working relations, classifying risks and opportunities and determines the distribution of tasks. The study further asked the participants to indicate how lack of stakeholder participation in baseline surveys affect ownership of donor funded projects. The responses revealed that majority of the participants felt that lack of stakeholder participation may obstruct baseline surveys in terms of decision making, project may fail to access critical information and resources stakeholders may provide, there may be biased decision making and that there may be poor or no project ownership by the beneficiaries or communities in which the projects are implemented.

4.5.2 Influence of Project Team Competency on Effective Baseline Survey

The second objective of the study sought to determine the influence of project team competency on effective baseline survey. The first statement's intent was to establish whether lack of staff competency and experience makes it difficult to attract funding for baseline studies. The findings presented in Table 4.8 indicate that the mean score of 4.257 and the standard deviation of 1.094 signifying that majority of the participants were in agreement with the statement.

The finding is congruent to those of Ruuska (2007) who posited that project managers should strive to enhance their capacity to lead, motivate, inspire, mediate, communicate and encourage project teams to succeed. The second statement required the participants to respond on whether quality of project management team, skills and

project organization affects baseline survey. The findings indicate a mean of 3.971 and standard deviation of 0.857 implying the majority were in agreement. The third statement required the participants to respond to whether Human resource capacity is very vital for effective baseline surveys to be realized. A mean of 4.486 and standard deviation of 0.743 signifies that majority of the participants were strongly in agreement with the statement.

The fourth statement asked the participants whether project teams should possess required technical expertise and skills in baseline surveys. A mean score of 4.514 and standard deviation of 0.612 indicate the majority were also strongly in agreement with the statement. The fifth statement asked the participants whether capacity building is useful because it empowers project team to conduct effective baseline surveys and the results indicate a mean of 3.886 and standard deviation of 0.718. This implies that the majority were in agreement with the statement. The sixth statement asked the participants whether motivated and skilled project teams achieve high performance in baseline survey outcomes. The mean score of 4.429 and standard deviation of 0.917 indicate that the majority were in agreement with the statement. According to Zaccaro et al., (2002), a motivated team usually achieves high performance. Further, the study sought to find out how project team competency could be enhanced and majority felt that knowledge and exposure, effective communication, coaching, team building to foster confidence and effective decision making were the main factors.

The interview schedule required the participants to explain why staff competency is vital in baseline surveys. Participant B pointed out that "project team competency plays a critical role in cost effectiveness through motivation to deliver, enhance efficiency of baseline surveys and improves baseline survey productivity". Further, others felt that staff competency reduces risks associated with having inadequately competent project teams. Further, the study enquired the importance of having technical expertise in project teams and majority of the responses revealed that technical expertise adds extra dimension in skill sets; contributes to generation of solutions to baseline surveys, enhances schedule management, cost management and risk identification during project surveys.

Table 4.8: Influence of Project Team Competency on Effective Baseline Survey

Project team Competency	N	SA	A	N	D	SD	Mean	S.D
1. Lack of staff competency and experience makes it difficult to attract funding for baseline studies	68	54.4%	30.9 %	5.9%	2.9 %	5.9%	4.257	1.094
2. Quality of project management team, skills and project organization affects baseline survey	68	26.5%	57.5 %	11.8 %	8.8 %	1.4%	3.971	.857
3. Human resource capacity is very vital for effective baseline surveys to be realized	68	57.4%	17.7 %	14.7 %	5.9 %	4.3%	4.486	.743
4. Project team should possess required technical expertise and skills in baseline surveys	68	48.5%	33.8 %	5.9%	2.9 %	8.9%	4.514	.612
5. Capacity building is useful because it empowers project team to conduct effective baseline surveys	68	17.6%	51.5 %	23.5 %	1.5 %	5.9%	3.886	.718
6. A motivated and skilled project team achieves high performance in baseline survey outcomes	68	60.3%	17.6 %	11.8 %	4.4 %	5.9%	4.429	.917

4.5.3 Influence of Project Cost on Effective Baseline Survey

The third objective of the study sought to determine the influence of project cost on effective baseline survey. In the first statement, the study sought to determine whether project financing ensures that project baselines are completed within approved budget. The findings in Table 4.9, shows a mean of 4.171 and standard deviation of 0.747 meaning majority of the participants were in agreement with the statement. This supports PMBOK (2008) that project financing includes the processes required to ensure that the project is completed within the approved budget. Moreover, the study

required the participants to respond on whether baseline survey success is judged by efficiency with which objectives are met within set timelines and budget. A mean of 3.971 and standard deviation of 0.618 imply that majority of the participants were in agreement.

In addition, the participants were also in agreement that the success or failure of baseline surveys firmly depends on availability of funds with a mean of 4.289 and standard deviation of 1.045.The participants further agreed that effective control of baseline surveys gives an opportunity to forestall inevitable cost escalation as indicated by a mean of 3.629 and standard deviation of 1.002. As well, on whether cost and technical performance are key determinants in the performance of baseline surveys, majority of the participants agreed with a mean of 4.200 and standard deviation of 1.052. The findings are congruent to those of Baker et al., (2008) who posited that technical performance is one of the project success factors among others such as schedule performance and cost performance.

The qualitative questions (open-ended questions) established that factors affecting project cost, resource levels, labor rates, risk estimates, innovation and quality of work were the main factors affecting project costs. The interview schedule section asked the participants why budgeting is important for effective baseline surveys. Participant D indicated that "budgeting enhances planning orientation, cost estimation, prioritizing tasks, future planning, analyzing baseline survey bottlenecks, funding planning and generation of baseline assumptions". The study also sought to determine whether cost was a key baseline survey success indicator. The findings revealed that majority of the participants felt that cost was very important in planning expenses, efficiency and prioritization of tasks, accountability and awareness planning in baseline surveys.

Table 4. 8: Influence of Project Cost on Effective Baseline Survey

Statements on Project Cost	N	Min	Max	Mean	Std. Deviation
1. Project financing ensures that project baselines are completed within approved budget	68	3	5	4.171	.747
2. Baseline survey success is judged by efficiency which objectives are met within set timelines and budget	68	2	5	3.971	.618
3. Project managers must recognize that time and resource estimates are critical for successful baseline surveys	68	2	5	3.943	.765
4. The success or failure of baseline surveys firmly depend on availability of funds	68	1	5	4.289	1.045
5. Effective control of baseline surveys gives an opportunity to forestall inevitable cost escalation	68	1	5	3.629	1.002
6. Cost and technical performance are key determinants in the performance of baseline surveys	68	1	5	4.200	1.052

4.5.4 Influence of Project Scope on Effective Baseline Survey

The fourth objective of the study sought to determine the influence of project scope on effective baseline survey as shown in Table 4.10. The findings indicate that majority of the participants disagreed with a mean of 2.514 and standard deviation of 1.246 that during baseline surveys, variations in working times occur due to factors outside control of project team. On whether project statement of work requires implementers to develop scope of work for baseline surveys, majority of the participants agreed with a mean of 3.857 and standard deviation of 0.601.

Further, the study required the participants to respond on whether scope and work definition is important in designing effective baseline surveys. A mean of 3.943 and standard deviation of 0968 imply majority were in agreement. On whether baseline information defines project indicators and boundaries as basis for results measurement, majority of the participants agreed with a mean of 4.143 and standard

deviation of 0.612. The findings are congruent to those of Raymond and Bergeron (2008) that the quality of projects and project information has a significant influence project success. Further, project completion within scope is considered as one of the success factor.

In addition, on whether project completion within scope is considered as one of the success factors, majority were strongly in agreement with a mean of 4.457 and standard deviation of 0.780. This finding support that of Pretorius et al., (2012) that project management organizations with mature time management practices produce more successful projects than project management organizations with less mature time and scope management practices.

The study also asked the participants on whether stakeholders should have sets of indicators for measuring baseline performance. The result indicated that the majority was in agreement with a mean of 4.057 and standard deviation of 0.765.The study established that variation in cost, constrains bothering on regulations, time and management including schedule completion affects project scope.

The interview schedule asked the participants to explain how project timelines affect the performance of baseline surveys. Participant H indicated that "timelines define baseline schedules, determines cost control and overruns and affects reporting on baseline survey outcomes". Similarly, the study asked the participants to indicate the importance of baseline survey scope and majority felt that scope plays a role in budgeting and scheduling, determines project quality, reveals limitations of baseline surveys and describes the projects' final deliverables.

Table 4. 9: Influence of Project Scope on Effective Baseline Survey

Statements on Project Scope	N	Min	Max	Mean	Std. Deviation
1. During baseline surveys, variations working times occur due to factors outside control of project team	68	1	5	2.514	1.246
2. Project statement of work requires implementers to develop scope of work for baseline surveys	68	3	5	3.857	.601
3. Scope and work definition is important in designing effective baseline surveys	68	1	5	3.943	.968
4. Baseline information defines project indicators, boundaries as basis for results measurement	68	2	5	4.143	.612
5. Project completion within scope is considered as one of the success factors	68	2	5	4.457	.780
6. Stakeholders should have sets of indicators for measuring baseline performance	68	3	5	4.057	.765

4.5.5 Effective Baseline Survey

The study further analyzed effective baseline survey and the findings are illustrated in Table 4.11.The first statement sought to determine whether baseline information helps in measuring extent of project changes for beneficiaries. The majority of the participants agreed with a mean of 3.743 and standard deviation of 0.886. The second statement asked the participants whether it is difficult to measure the impact of a project without baseline of initial conditions on site. According to the findings, the majority agreed with a mean of 3.77 and standard deviation of 1.087. The findings support those of Kusek (2004) that baselines generate information that becomes a starting point in measuring the performance and setting realistic targets.

Similarly, the study asked the participants whether baseline survey enables project teams to assess pre-project conditions and set specific indicators. Majority were in agreement with a mean of 3.743 and standard deviation of 0.701. The findings are in support of those of Shapiro (2001) who reported that it is difficult to measure the

impact of a project if the nature of the situation was not known at the beginning of the project.

The study further sought to find out whether baseline information provides an objective basis for project investment decision making. The findings indicate that majority of the participants were in agreement with a mean of 4.457 and standard deviation 0.908. The study also asked the participants whether baseline information informs project design and tools like logical framework and majority were in agreement with a mean of 3.858 and standard deviation of 0.895.

The study further established that the type of indicators selected, timelines for reporting, project team assignments and cost estimates affects the effectiveness of baseline surveys.

Table 4. 10: Effective Baseline Survey

Effective Baseline Survey	N	Min	Max	Mean	Std. Deviation
1. Baseline information helps in measuring extent of project changes for beneficiaries	68	2	5	3.743	.886
2. It is difficult to measure impact of a project without baseline of initial conditions on site	68	1	5	3.77	1.087
3. Baseline surveys enables project teams to assess pre-project conditions and set specific indicators	68	2	5	3.743	.701
4. Baseline information provides an objective basis for project investment decision making	68	3	5	4.457	.908
5. Baseline information informs project design and tools like logical framework	68	3	5	3.858	.895

4.6 Inferential Statistics

4.6.1 Correlation Analysis

In this section, the study sought to find out the nature of the relationship between the independent variables: Stakeholder Participation, Project Team Competency, Project Cost and Project Scope and the dependent variable: Effective Baseline survey.

a) Relationship between Stakeholder Participation and Effective Baseline Survey

A correlation analysis was conducted to establish the nature and strength of the relationship between stakeholder participation and effective baseline survey.

From the results in Table 4.12, there is a strong positive and significant Pearson Correlation Coefficient of 0.743 at a p-value of 0.000. The results imply that stakeholder participation has significant influence on effective baseline surveys because the p-value of 0.000 is less than the conventional 0.05. Thus, the study rejected the null hypothesis (H_{o1}) and concluded that there exist a positive and significant relationship between stakeholder participation and effective baseline surveys. The finding support those of Marangu (2012) who posited that stakeholder participation right from the onset of the project is critical as it ensures that the community owns up the project which is viewed as one of the factors that could ensure project success.

Table 4. 11: Relationship between Stakeholder Participation and Effective Baseline Survey

		Stakeholder Participation
Effective Baseline Survey	Pearson Correlation	.743**
	Sig. (2-tailed)	.000
	N	68

**. Correlation is significant at the 0.01 level (2-tailed).

b) Relationship between Project Team Competency and Effective Baseline Survey

The study conducted a correlation analysis to establish the strength and nature of the relationship between project team competency and effective baseline survey. Based on the findings presented in Table 4.13, the study established that there is a strong, positive and significant Pearson Correlation Coefficient of 0.726 with a p-value of 0.011. This implies that project team competency is a significant determinant of

effective baseline survey. Further, the p-value of 0.011 is less than the conventional 0.05.

Thus, the study rejected the null hypothesis (H_{o2})and concluded that there exist a positive and significant relationship between project team competency and effective baseline surveys The findings are congruent to those of Naidoo (2011) that financial availability, number of monitoring staff, monitoring staff skills, frequency of monitoring and stakeholders representation. This also supports Shapiro (2011) who posited that capacity building is useful since they provide the project staff with ways of becoming efficient, effective and have impact on the projects.

Table 4. 12: Relationship between Project Team Competency and Effective Baseline Survey

		Project Team Competency
Effective Baseline Survey	Pearson Correlation	.726*
	Sig. (2-tailed)	.011
	N	68

*. Correlation is significant at the 0.01 level (2-tailed).

c) Relationship between Project Cost and Effective Baseline Survey

The study further wanted to establish the relationship between project cost and effective baseline survey. The findings in Table 4.14 indicate the existence of a strong positive and significant Pearson Correlation Coefficient of 0.698 with a p-value of 0.030 between project cost and effective baseline survey. The findings imply that project cost has a significant influence on effective baseline surveys since the p-value 0.021 is less than the conventional 0.05. Thus, the study rejected the null hypothesis (H_{o3})and concluded that there exist a positive and significant relationship between project cost and effective baseline surveys. The findings are congruent to those of Ashley et al., (2007) that analysis of project implementation success and concluded that effective project implementation is repeatable and require a great deal of work to understand it for achieving cost effectiveness and competitive position.

Table 4. 13: Relationship between Project Cost and Effective Baseline Survey

		Project Cost
Effective Baseline Survey	Pearson Correlation	.698*
	Sig. (2-tailed)	.030
	N	68

*. Correlation is significant at the 0.01 level (2-tailed).

d) Relationship between Project Scope and Effective Baseline Survey

The study also conducted a correlation analysis to establish the nature and strength of the relationship between project scope and effective baseline survey. The findings in Table 4.15 indicate the existence of a strong positive and significant Pearson Correlation Coefficient of 0.685 with a p-value of 0.023 between project scope and effective baseline survey. This implies that project scope has a significant influence on effective baseline surveys because the p-value 0.023 is less than the conventional 0.05. Thus, the study rejected the null hypothesis (H_{o4})and concluded that there exist a positive and significant relationship between project scope and effective baseline surveys. The findings support those of PMBOK (2001) which explained that project success is measured by product and project quality, timeliness, budget compliance, and degree of customer satisfaction.

Table 4. 14: Relationship between Project Scope and Effective Baseline Survey

		Project Scope
Effective Baseline Survey	Pearson Correlation	.685*
	Sig. (2-tailed)	.023
	N	68

*. Correlation is significant at the 0.01 level (2-tailed).

4.6.2 Regression Analysis

Regression is a technique used to describe a relationship between two variables in mathematical terms (Andre, 2004). Findings presented in Table 4.16 indicate an R-square value of 0.745which means the four independent variables (Stakeholder Participation, Project Team Competency, Project Cost and Project Scope) on explain

74.5% of effective baseline survey for donor funded slum upgrading projects. However, the results also imply that further research should be conducted to investigate the other determinants constituting 25.5% which influence effective baseline surveys for donor funded slum upgrading projects in Nakuru County.

Table 4. 15: Model Summary

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.863[a]	.745	.729	.06726

a. Predictors: (Constant), Stakeholder Participation, Project Team Competency, Project Cost and Project Scope.

a) Analysis of Variance of the Model

The study further conducted an ANOVA test on the model summary as presented in Table 4.17. The findings for the ANOVA test between the predictor variables and dependent variable indicate that relationship is positive and significant because it has an F-value of 6.189 with a p-value of 0.002 which is within the acceptable threshold value of 0.05. Further, the *f* statistic (3, 64) is 2.75 while the calculated *f* is 6.189. Thus, since the calculated f value is greater than the f statistic, it implies that model had a good fit.The findings reveal the existence of a statistically significant relationship between effective baseline surveys and the four independent variables (Stakeholder Participation, Project Team Competency, Project Cost and Project Scope).

Table 4. 16: ANOVA for Model 1

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	9.489	3	3.163	6.189	.002[a]
	Residual	32.716	64	.511		
	Total	42.205	67			

a. Predictors: (Constant), Stakeholder Participation, Project Team Competency, Project Cost and Project Scope.

b. Dependent Variable: Effective Baseline Survey

b) Multiple Regressions Analysis

The researcher further conducted a multiple regression analysis in order to determine the strength of the relationship between the predictor variables and the dependent variable as illustrated in Table 4.18.

$Y = \alpha + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4$

$Y = 2.072 + 0.751X_1 + 0.759X_2 + 0.767X_3 + 0.740X_4$

According to the regression equation, taking all factors into account (Stakeholder Participation, Project Team Competency, Project Cost and Project Scope) constant, effective baseline survey will be 2.072. Additionally, taking all other independent variables at constant, a unit increase in stakeholder participation will lead to a 0.751 increase in effective baseline survey, a unit increase in project team competency will lead to a 0.759 increase in effective baseline survey, a unit increase in project cost will lead to a 0.767 increase in effective baseline survey while a unit increase in project scope will lead to a 0.740 in effective baseline survey. Overall, the results imply that project cost has more significant influence on effective baseline survey for donor funded slum upgrading projects in Nakuru County.

Table 4. 17: Regression Coefficients

Model		Unstandardized Coefficients		Standardized T Coefficients		Sig.
		B	Std. Error	Beta		
1	(Constant)	2.072	1.505		1.377	.017
	Stakeholder Participation	.751	.108	.569	1.404	.015
	Project Team Competency	.759	.235	.551	1.251	.040
	Project Cost	.767	.138	.531	1.213	.023
	Project Scope	.740	.196	.506	1.224	.031

a. Dependent Variable: **Effective Baseline surveys**

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSION AND RECOMMMENDATIONS

5.1 Introduction

The study assessed the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County. This chapter presents a summary of the major findings, conclusions and recommendations with respect to the study objectives. The summary of the findings have been done based on the objectives.

5.2 Summary of Findings

This section provides a summary of the findings on the four objectives: stakeholder participation, project team competency; project cost and project scope.

5.2.1 Influence of Stakeholder Participation

The study established that the type and interests of stakeholders have a great impact on baseline surveys. The findings also revealed that it is important to carry out stakeholder analysis so as to assess their influence in baseline surveys. Moreover, the study established that stakeholders did not participate in baseline surveys for formality reasons. As well, projects should be transparent and accountable to stakeholders on resource use in baseline surveys. Stakeholders were neutral on whether stakeholder participation leads to ownership of baseline survey outcomes and indicators. Additionally, lack of stakeholder participation at the onset of projects leads to adoption of unclear indicators. The study also established that management has a role in looking into the affairs of stakeholders and their expectations in the donor funded slum upgrading projects.

Moreover, the study findings revealed that stakeholder analysis is very important because it introduces stakeholders, assesses their needs and helps mitigate negative impacts in the long run. On the same note, stakeholder builds good working relations, classifying risks and opportunities and determines the distribution of tasks in the baseline survey. As well, lack of stakeholder involvement jeopardizes ownership of baseline indicators, obstructs effective decision making and access to information and resources.

5.2.2 Influence of Project Team Competency

On project team competency, the study revealed that lack of staff competency and experience makes it difficult to attract funding for baseline studies. Similarly, the study found out that the quality of project management team, skills and project organization affects baseline survey. Human resource capacity was found to be very vital for effective baseline surveys to be realized. Also, the study established that project teams should possess required technical expertise and skills in baseline surveys. The study further found out that capacity building is useful because it empowers project team to conduct effective baseline surveys. Furthermore, motivated and skilled project teams achieve high performance in baseline survey outcomes. Staff competency is vital in baseline surveys because it plays a critical role in cost control, enhances efficiency, improves productivity and reduces risks. Further, the study established that having technical expertise in project teams adds extra dimension in skill sets, enhances schedule management, cost management and risk identification during project surveys.

5.2.3 Influence of Project Cost

On project cost, the study established that project financing ensures that project baselines are completed within approved budget. Moreover, the study established that baseline survey success is judged by efficiency with which objectives are met within set timelines and budget. In addition, the success or failure of baseline surveys firmly depends on the availability of funds. Besides, effective control of baseline surveys gives an opportunity to forestall inevitable cost escalation. As well, the study found that cost and technical performance are key determinants in the performance of baseline surveys. The study further found that budgeting enhances planning orientation, cost estimation, prioritizing tasks, future planning, analyzing baseline survey bottlenecks, funding planning and generation of baseline assumptions. Baseline cost is a tool in planning expenses, building efficiency, prioritization of tasks and ensuring accountability.

5.2.4 Influence of Project Scope

On project scope, the findings revealed that during baseline surveys, variations in working times did not occur due to factors outside control of project team. Additionally, the study established that project statement of work requires

implementers to develop scope of work for baseline surveys. Further, scope and work definition is important in designing effective baseline surveys. As well, baseline information defines project indicators and boundaries as the basis for results measurement. Further, project completion within scope is considered as one of the success factor. The findings also revealed that stakeholders should have sets of indicators for measuring baseline performance. The study also established that project timelines define baseline schedules, determines cost control and overruns and affects reporting on baseline survey outcomes. Similarly, the study found that baseline survey scope determines budgeting and scheduling, project quality, reveals limitations and illustrates the projects' final deliverables.

5.3 Conclusions of the Study

5.3.1 Conclusions on Stakeholder Participation

The study concludes that type and interests of stakeholders greatly impacts baseline surveys. It is also very important to conduct stakeholder analysis to assess their influence in baseline surveys. The study further concludes that stakeholders participate in baseline surveys for various reasons and interests. It is imperative that project baseline surveys ensure transparency and accountability to all stakeholders. Moreover, the study concludes that stakeholder participation has not guaranteed ownership of baseline survey outcomes and indicators. Additionally, lack of stakeholder participation at the onset of projects leads to adoption of unclear indicators. The management has a role in meeting stakeholder expectations. Moreover, the study concludes that stakeholder analysis introduces stakeholders, assesses needs, risks and mitigates negative impacts in baseline surveys. in the long run. Lack of stakeholder involvement jeopardizes ownership of baseline indicators, obstructs effective decision making and access to information and resources.

5.3.2 Conclusions on Project Team Competency

Additionally, the study concludes that lack of staff competency and experience makes it difficult to attract funding for baseline studies. The quality of project management team, skills and project organization affects baseline survey. Effective baseline surveys greatly depend on the human resource capacity. Furthermore, the study concludes that project teams' technical expertise and skills are critical in baseline surveys. Capacity building empowers project teams with skills to conduct effective

baseline surveys. The study also concludes that staff competency is vital in cost control, enhancing efficiency, improving productivity and risk reduction. Further, the study concludes that technical expertise adds extra dimension in skill sets, enhances schedule, cost and risk management.

5.3.3 Conclusions on Project Cost

As well, the study concludes that project financing ensures that project baselines are completed within approved budget. The efficiency with which objectives are met within set timelines and budget determines the success of baseline surveys. Baseline survey funding plays a critical role on their success or failure. Besides, effective control of baseline surveys forestalls inevitable cost escalation. In addition, successful baselines are dependent on cost and technical performance. The study further concludes that baseline budgeting enhances planning, cost estimation, prioritization of tasks, analyzing baseline survey bottlenecks, funding planning and generation of baseline assumptions.

5.3.4 Conclusions on Project Scope

Correspondingly, the study concludes that variations in working times did not occur due to factors outside control of project teams. The study also concludes that project statement of work requires implementers to develop scope of work in baseline surveys. Further, scope and work definition is important in designing effective baseline surveys. Moreover, the study concludes that baseline information defines project indicators and boundaries for results measurement. Further, project completion within scope is considered as one of the success factor. It is important that stakeholders have their sets of indicators for measuring baseline performance. The study also concludes that project timelines define baseline schedules, cost control, cost overruns and baseline survey reporting. Further, baseline survey scope determines budgeting and scheduling, project quality, limitations and deliverables.

5.4 Recommendations of the Study

The study recommends that analysis and ranking of the type and interests of stakeholders should be prioritized because of their great influence on baseline surveys. Besides, baseline surveys should classify the roles of each stakeholder and the impact of their participation. Transparency and accountability of all baseline

survey activities should be maintained by all stakeholders. The stakeholders must be empowered to own outcomes and indicators at the beginning and at the end of baseline activities. Further, the management or organizations should have plans on managing stakeholder expectations. Additionally, the study recommends that staff competency and expertise should be prioritized as they are a key requirement in attracting funding for baseline studies. There should be human resource capacity building to enhance technical expertise and skills development. Moreover, the study recommends that stakeholder analysis should regularly assess stakeholders and needs, evaluate and mitigate risks. Stakeholders should always be involved because it affects ownership of baseline indicators, decision making and access to information and resources.

The study recommends that staff competency should be enhanced because it is a key component of baseline survey funding by donors. There should be regular project team training sessions to build their skills. Furthermore, the study recommends that organizations should endeavor to build project teams' technical expertise and skills for effective baseline surveys. The study also recommends that staff competency should be taken into consideration when determining cost control, efficiency, productivity and risk reduction. Further, the technical expertise of project teams should be prioritized because it adds skills in scheduling, cost analysis and risk management.

As well, the study recommends project financing should be keenly managed to ensure that project baselines are completed within approved budgets. Baseline surveys should be conducted within set timelines and budget. Organizations should ensure there is adequate funding because it determines their success or failure. Besides, there should be effective control of cost and technical performance in all baseline surveys. The study further recommends that baseline budgeting should always consider planning, cost estimation, prioritization of tasks, risks, funding planning and baseline assumptions.

The baseline surveys should ensure control of variations in working times by the project teams. The project statement of work should ensure implementers develop scopes of work in baseline surveys. Baseline surveys should ensure indicators are defined before implementation to enable results measurement. Further, stakeholders

should have their sets of indicators for measuring baseline performance. The study recommends that more emphasis should be put on project timelines because it affects baseline schedules, cost and baseline survey reporting. Further, baseline survey scope should be carefully determined because it affects budgeting, scheduling, project quality, limitations and deliverables.

5.5 Recommendation for Further Study

This section provides recommendations for further study based on the study objectives.

5.5.1 Further Study on Stakeholder Participation

The study suggests that further research should be conducted to determine the influence of stakeholder baseline indicators on project performance for donor funded slum upgrading projects.

5.5.2 Further Study on Project Team Competency

Furthermore, further study should be done to assess the effects of project team technical capacity on the performance of baseline surveys for donor funded projects.

5.5.3 Further Study on Project Cost

Further study should be done to determine the influence of cost control on project baseline survey outcomes.

5.5.4 Further Study on Project Scope

Similarly, further research should be conducted to assess the effect of project scope on baseline surveys for donor funded water projects in slum areas.

REFERENCES

Action Aid. (2008). *Accountability, Learning and Planning System (with notes to accompany ALPS).* Retrieved December 12, 2013, from London: Action Aid, UK, Hamlyn House, Macdonald Road, Archway, London N19 5P.

Albert, L. (2007), *Project Management*. Planning and Control.

Ali I. A. (2012), *Factors influencing sustainable funding of non-governmental organizations in Kenya*: a case study of sister's maternity home (simaho) in Garissa, University of Nairobi.

Anderson, A. (2005). *An Introduction to Theory of Change. The Evaluation Exchange*, 9(2).

Armonia, Ricardo, C., Dindo, M., & Campilan. (2006). *Participatory Monitoring and Evaluation:* The Asian Experience, Regional Overview Paper Prepared for the International Workshop on Participatory Monitoring and Evaluation, Cavite Philippines. UPWARD.

Armstrong, M., & Baron, A. (2013). *Performance Management: The New Realities.* Chartered Institute of Personnel and Development.

Ashley R M., Blanksby J R., Cashman A., Jack L., Wright G., Packman J., Fewtrell L.,& Poole A. (2007). Adaptable Urban Drainage - Addressing Change in Intensity, Occurrence and Uncertainty of Stormwater (AUDACIOUS). *Journal Built Environment. 33(1), 70-84. ISSN 0263-7960.*

Baker, B. N., Murphy, D. C., & Fisher, D. (2008). *Factors affecting project success*. Project Management Handbook, Second Edition, 902-919.

Bamberger, M. (2008). *Enhancing the utilization of evaluations for evidence-based policy- making*. In M. Segone (Ed), Bridging the Gap.

Barbara Brown (2011). *Using active Listening as a Communication Tool*: University of Florida

Bredillet, C. N. (2008). Exploring research in project management: Nine schools of project management research (part 4). *Project Management Journal, 39(1), 2-6.*

Bryman, A. & Bell, E. (2007). *Business research methods*. Second edition. New York:

Busiinge C. (2010). *The Impact of Donor Aided Projects through NGOs on the Social and Economic Welfare of the rural poor.*

Chan, A, (2001). *Framework for measuring success of construction projects*.

Chaplowe, Scott G. (2008). *Monitoring and Evaluation Planning: American Red Cross/CRS M&E Module Series*. American Red Cross and Catholic Relief Services (CRS), Washington, DC and Baltimore, MD.

Chen, H.T. (1996). Applying mixed methods under the framework of theory-driven evaluations. *New Directions for Evaluation, 74, 61 – 72.*

Chen, M. U., Hoang N. D., Roy, A. F., & WU Y. W. (2007). A novel time depended evolutionary fuzzy sum inference model for estimating construction projects at completion. *Engineering Application of Artificial Intelligence, 25(4), 744-752.*

Coninck, J.D, Chaturredi, K., Haagsma, B., Griffioen, H., & Glas, M. (2008). *Planning, Monitoring and Evaluation in development organizations.* SAGE Publications Ltd, London, UK.

Cooper, D.R., & Schindler, P.S. (2008). *Business Research Methods. (8th ed*.). Boston: McGraw-Hill Irwin.

Cynthia K. West (2008). *Five Common Project Management Challenges*, Ph.D., Vice President, Project Insight, Metafuse, Inc., 17320 Red Hill Avenue, Suite 270, Irvine

Donaldson S & Lipsey M. (2003), Roles for Theory in Contemporary Evaluation Practice: Developing Practical Knowledge, Evaluating Social Programs and Problems: *Visions for the new Millennium (111 – 142).*

Donaldson, S. I. (2003). Overcoming our negative reputation: Evaluation becomes known as a helping profession. *American Journal of Evaluation, 22, 355-361.*

Estrella, M., & Gaventa, J. (2010). Who Counts Reality? Participatory Monitoring and Evaluation: A Literature Review. *IDS Working Paper 70. Brighton: Institute of Development Studies.*

European Union. (2017). *Introduction to Monitoring and Evaluation Using the Logical Framework Approach*. European Commission and Civil Society in Ethiopia.

Fapohunda, J.A, Stephenson, P. (2010). Optimal construction resources utilization: Reflections of site managers' attributes. *Pacific Journal of Scienceand Technology, 11(2), 353-365*.

Flyvbjerg, B., M.K. Skamris Holm & S.L. Buhl. (2004a). What Causes Cost Overrun in Transport Infrastructure Projects?. *Transport Reviews, 4(1),3-18.*

Frankel, N., & Gage, A. (2007). *M&E Fundamentals: A Self-Guided Minicourse*. (Measure Evaluation).

Fisher, J.C. & Pry, R.H. (1971). A Simple Substitution Model of Technological Change. *Technological Forecasting & Social Change 3, 75-88.*

Freeman, R.E. (1984). *Strategic Management: A Stakeholder Approach*, 1st ed.; Pitman Publishing: Boston, MA, USA, 1984; 24–25.

George, D., & Mallery, P. (2003). SPSS *for Windows step by step: A simple guide and reference*. 11.0 update (4th ed.). Boston: Allyn & Bacon.

Georgieva, S., & Allan, G. (2008). Best Practices in Project Management Through a Grounded Theory Lens. *Electronic Journal of Business Research Methods, 6(1), 43-52.*

Gharashe, U. (2009). *A guide to the project management body of knowledge (PMBOK® guide) (4th Ed.).* Newtown Square, PA: Project Management Institute.

Gorgens, M. & Kusek, J. Z. (2009). *Making Monitoring and Evaluation Systems Work.*

Gosling, Lousia, & Edwards, M. (2009). *Toolkits: A Practical Guide to Assessment, Monitoring, Review and Evaluation.* London: Save the Children.

Green, P.G. & Haines, A. (2008). *Asset Building & Community Development*.

Hogger, R., Kuchli, C., Zimmerman, A., Engler, M., & Vokra, E. (2011). *Monitoring keeping in touch with reality.* Berne: Swiss Agency for Development and Cooperation.

Hosley, C. (2009). *Whats Your Theory – Tips for Conducting Program Evaluation* - Issue 4. Wilder Research

Ikal, L. A. (2009). Project success as a topic in project management journal, *40(4), 6-19*. International Affairs (PASSIA)

Isensi, K. (2006). *The Economics of Welfare*. (3rd Ed). London. Macmillan and Co. Ltd.

Jaszczolt K., Potkanski T., Stanislaw A. (2010). Internal *Project M&E System and Development of Evaluation Capacity – Experience of the World Bank – Funded Rural Development Program*. World Bank.

J-PAL (Abdul Latif Jameel Poverty Action Lab). (2003). *Program Theory Assessment*.

Kai Ruuska (2007). *Project Communication; Project Management Consultant*, Project Directors oy prodictor, espoo, Finland

Kelly K. & Magongo B. (2004): *Report on Assessment of Monitoring and evaluation capacity of HIV /Aids organization in Swaziland*. Swaziland NERCHA 35.

Kerzner, H. (2003). *Project Management: A Systems Approach to Planning, Scheduling, and Controlling,* New York: Wiley, 45.

Khwaja, A. I. (2004). Is Increasing Community Participation Always a Good Thing? *Journal of the European Economic Association, 2(2-3), 427-436.*

Koffi-Tessio B. (2002). *Efficacy and efficiency of Monitoring-Evaluation (MES) for Projects Financed by the Bank Group.* African Development Bank Group.

Kombo, K. & Tromp, A. (2006). *Proposal and Thesis Writing: An Introduction*, Nairobi: Pauline Publishers House.

Kothari C.R (2004). *Research Methodology, Methods and Techniques* (Second Revised Edition), New Delhi: New Age International Publishers.

Kothari, C.R. (2005). *Research Methodology: Methods and techniques.* Daryaganj, New Delhi: New Age International (P) Ltd.

Krzysztof, J., Potkańsk, T., & Stanisław, A. (2011). *Internal Project M&E System and Development of Evaluation Capacity – Experience of the World Bank-funded Rural Development.* World Bank.

Kusek, J.Z & Rist, R. (2004). *Ten Steps to a Results-Based Monitoring and Evaluation System, A Handbook for Development Practitioners.* Washington DC, World Bank.

Kyriakopoulos, G. L. (2011). Project Management (PM) Prosperity: A Second Half of the 20th Century Literature Review. *Journal of Management and Sustainability, 1 (1), 64-81.*

Ling, F. Y. Y., & Ma, Y. (2014). Effect of competency and communication on project outcomes in cities in China. *Habitat International, 44, 324-331*.

Ling, F. Y. Y., Low, S. P., Wang, S. Q., & Lim, H. H. (2009). Key project management practices affecting Singaporean firms' project performance in China.*International Journal of Project Management, 27(1), 59-71.*

Mackay, K. (2007). *How to Build Monitoring and Evaluation Systems to Support Better Government.* Washington DC, Washington DC, United States of America: World Bank.

Mansfield, N. R., O. O. Ugwu, & T. Doranl. (2006). Causes of delay and cost overruns in Nigerian construction projects. *International Journal of Project Management, 12, (4),254-260.*

Marangu, E. M. (2012). *Factors influencing implementation of community based projects undertaken by the banking industry in Kenya*. A case of Barclays Bank of Kenya (Masters Dissertation). Kenyatta University, Nairobi,Kenya.

Mishra, R.C. (2006). Modern Project Management. New Age international (P) Ltd Publishers

Mugenda, O. M. & Mugenda, A. G. (2003). *Research Methods: Quantitative and Qualitative Approaches.* Nairobi: Acts Press.

Nabris, K. (2002). *Monitoring and Evaluation*. Palestinian Academic Society.

Naidoo, I. A. (2011). *The role of monitoring and evaluation in promoting good governance in South Africa: A case study of the Department of Social Development.* University of Witwatersrand. Johannesburg: WIReDSpace.

Naidoo, L., A. (2011). *The role of monitoring and evaluation in promoting good governance in South Africa*: A case study of the department of social development (Doctoral dissertation, University of Witwatersrand).

Nassiuma D. K. (2000). *Survey sampling: Theory and methods*. Njoro, Kenya: Egerton University Press.

Nyonje, R. O., Ndunge, K. D., & Mulwa, A. S. (2012). *Monitoring and Evaluation of Projects and Programs - A Handbook for Students and Practitioners.* Nairobi, Kenya: Aura Publishers.

Ogula, P. A. (2002). *Monitoring and Evaluation of Educational Projects and Progrmas.* Nairobi, Kenya: New Kemit Publishers.

Omolo, A. (2011). *Baseline Survey Report on Governance in the Greater Turkana Region.* Nairobi: Oxfam GB (unpublished).

PELUMU.(2008). *Participatory monitoring and evaluation guide*, Uganda

PMI (2004). *A Guide to the Project Management Body of Knowledge* (*PMBOK Guide).* 3rd Edition

PMI. (2004). *A Guide to the Project management Book of Knowledge*. New York: PMI

Pretorius S. Steyn H., & Jordan J. C. (2012). Project management maturity and project management success in the engineering and construction industries in southern Africa .*South Africa Journal Industrial Engineering 23(3), 1-12.*

Project Management Institute (PMI) (2008). *A guide to the project management body of knowledge (PMBOK® Guide)* (4th Ed.). Newtown Square, PA, USA: Project Management Institute (PMI).

Raymond, L., & Bergeron, F (2008). Project management information system: An empirical study of their impact on project managers and project success. *International Journal of project management, 26(2), 213-220.*

Rossi, P. H., Lipsey, M. W., and Freeman, H. E. (2004). *Evaluation: A systematic approach* (7th Ed.). Thousand Oaks, CA: Sage.

Save the Children. (2016). *Baseline and evaluation design and management.Monitoring, Evaluation, Accountability and Learning* (MEAL).

Schumpeter J.A., (1939). *The Theory of Innovation. Business Cycles; A Theoretical, Historical and Statistical Analysis of the Capitalist Process*. (84-150) New York: McGraw Hill.

Scriven, M. (1998). *Minimalist theory*. UK.

Seith, S. & Philippines I. (2012, December). *Evaluation and Theory of Change*. Presented at workshop on randomized evaluation to improve financial capability innovation for poverty action (ipa)

Serekan, U. (2010). *Research Methods for Business: A Skill Building Approach* (5th Edition) USA: JohnWiley & Sons Publisher.

Shackman, G. (1998). The Global Social Change Research Project http://gsociology.icaap.org/

Shapiro J. (2009). *Monitoring and Evaluation. Johannesburg*: CIVICUS

Shapiro J. (2011). *Monitoring and evaluation*. CIVICUS.

Silverman, D. (2005). *Doing Qualitative Research: a Practical Handbook*. Second edition.

Stier, J. & Kjellin, M. S. (2009). Communicative challenges in multinational project work; *Journal of Intercultural Communication, Issue 21*

Thompson, J. R., Hughes, C., Schalock, R. L., Silverman, W., Tasse, M. J., & Bryant, B. R., (2002). Integrating supports in assessment and planning. *Mental Retardation, 40, 390–405.*

Uitto JA. (2004): Multi-country co-operation around shared waters: Role of Monitoring and Evaluation. *Global Environmental Change, 14(1): 5 – 14*

UNDP. (2010). *Handbook on monitoring and Evaluation for Results*, Evaluation office, New York.

UNDP. (2009). *Handbook on Planning Monitoring and Evaluating for Development Results.* New York, USA: United Nations Development Program.

UNDP. (2009). *Handbook on Planning, Monitoring and Evaluating for Development Results*.

USAID (2011). *Guide: Preparing a performance monitoring plan*.

Wideman, R. (2001). *Comparative Glossary of Common Project Management Terms* Copyright R. Max Wideman.

World Bank. (2011). *International Road federation, World road Statistics and electronic*. World Development Indicators, World Bank. Washington, D.C.

Yang, J., Shen, G. Q., Ho, M., Drew, D. S., & Chan, A. P. (2009). Exploring critical success factors for stakeholder management in construction projects. *Journal of civil engineering and management, 15(4), 337-348.*

Zaccoro S. J., Rittman, A. L., & Marks M. A., (2002). Team leadership. *The leadershipQuarterly 12(4), 451-483.*

Zaman, W. (2000). *Public Participation in Development and Health Programs*: Lessons From Rural Bangladesh. University Press of America, Lanhan, MA.

APPENDICES

APPENDIX I: LETTER OF INTRODUCTION

BRENDAH
JKUAT, NAKURU CBD CAMPUS,
P.O. BOX 1063-20100,
NAKURU.

Dear Respondent,

RE: INTRODUCTION LETTER FOR ACADEMIC RESEARCH

The purpose of this questionnaire is to collect data from donor funded projects to assess the determinants of effective baseline survey for donor funded slum upgrading projects in Nakuru County. The data will be used for academic purposes only and will be treated with strict confidence. Kindly spare some time to respond to the questions.

Yours faithfully,
Brendah

JKUAT –Msc. Project Management

APPENDIX II: QUESTIONNAIRE

SECTION I: GENERAL INFORMATION

(Kindly tick where appropriate)

1. Kindly indicate your gender?
    a. Male [ ]
    b. Female [ ]

2. What is your age group?

    a. 20-25 years [ ]
    b. 26-30 years [ ]
    c. 31-35 years [ ]
    d. 35-40 years [ ]
    e. 40 years and above [ ]

3. What position do you hold in the donor funded projects in Nauru County?
    a. Project Manager [ ]
    b. Project Officer [ ]
    c. Stakeholder [ ]
    d. Beneficiary [ ]

4. Indicate your highest level of Education?
    a. KCSE Certificate [ ]
    b. Certificate [ ]
    c. Diploma [ ]
    d. University Graduate [ ]

5. How long have you been involved with donor funded projects in Nakuru County?

Less than one year [ ] 1-5 years [ ]
6-10years [ ] Above 10 years [ ]

SECTION II: STAKEHOLDER PARTICIPATION

The statements below focuses on stakeholder participation in donor funded projects and are scaled on a five-point Likert scale (**Where: Strongly Disagree-1; Disagree-2; Neutral-3; Agree-4; Strongly Agree-5).** Tick as appropriate.

Statements on Stakeholder Participation	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
1. Type and interest of stakeholders have a great impact on baseline surveys					
2. It is important to carry out stakeholder analysis to assess their influence in baseline surveys					
3. Some stakeholders participate in baseline surveys for formality reasons					
4. Stakeholder require transparency, accountability for resource use in baseline surveys					
5. Stakeholder participation leads to ownership of baseline survey outcomes and indicators					
6. Lack of stakeholder participation at onset of projects leads to adoption of unclear indicators					
7. It is the role of management to look into the affairs of stakeholders and their expectations					

8. What are some of the factors which affect stakeholder participation in baseline surveys for donor funded projects in Nakuru County……..……..?

SECTION III: PROJECT TEAM COMPETENCY

The statements below focuses on project team competency in donor funded projects and are scaled on a five-point Likert scale (**Where: Strongly Disagree-1; Disagree-2; Neutral-3; Agree-4; Strongly Agree-5).** Tick as appropriate.

Statements on project team competency	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
9. Lack of staff competency and experience makes it difficult to attract funding for baseline studies					
10. Quality of project management team, skills and project organization affects baseline survey					
11. Human resource capacity is very +vital for effective baseline surveys to be realized					
12. Project team should possess required technical expertise and skills in baseline surveys					
13. Capacity building is useful because it empowers project team to conduct effective baseline surveys					
14. A motivated and skilled project team achieves high performance in baseline survey outcomes					

15. What are the ways project team competency can be enhanced to contribute to effective baseline surveys ……..?

SECTION IV: PROJECT COST

The statements below focuses on cost of baseline surveys for donor funded projects and are scaled on a five-point Likert scale (**Where: Strongly Disagree-1; Disagree-2; Neutral-3; Agree-4; Strongly Agree-5).** Tick as appropriate.

Statements on Cost	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
16. Project financing ensures that project baselines are completed within approved budget					
17. Baseline survey success is judged by efficiency which objectives are met within set timelines and budget					
18. Project managers must recognize that time and resource estimates are critical for successful baseline surveys					
19. The success or failure of baseline surveys firmly depend on availability of funds					
20. Effective control of baseline surveys gives an opportunity to forestall inevitable cost escalation					
21. Cost and technical performance are key determinants in the performance of baseline surveys					

22. What are the ways in which cost affect the performance of baseline surveys……?

SECTION V: PROJECT SCOPE

The statements below focuses on Project scope in donor funded projects and are scaled on a five-point Likert scale (**Where: Strongly Disagree-1; Disagree-2; Neutral-3; Agree-4; Strongly Agree-5).** Tick as appropriate.

Statements on Project Scope	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
23. During baseline surveys, variations working times occur due to factors outside control of project team					
24. Project statement of work requires implementers to develop scope of work for baseline surveys					
25. Scope and work definition is important in designing effective baseline surveys					
26. Baseline information defines project indicators, boundaries as basis for results measurement					
27. Project completion within scope is considered as one of the success factors					
28. Stakeholders should have sets of indicators for measuring baseline performance					

29. Given that project scope is very important for baseline surveys, what are the factors which affect project scope definition……..……?

SECTION VI: EFFECTIVE BASELINE SURVEY

The statements below focuses on Effective baseline survey donor funded projects and are scaled on a five-point Likert scale (**Where: Strongly Disagree-1; Disagree-2; Neutral-3; Agree-4; Strongly Agree-5).** Tick as appropriate.

Statements on Effective Baseline Survey	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
30. Baseline information helps in measuring extent of project changes for beneficiaries					
31. It is difficult to measure impact of a project without baseline of initial conditions on site					
32. Baseline surveys enables project teams to assess pre-project conditions and set specific indicators					
33. Baseline information provides an objective basis for project investment decision making					
34. Baseline information informs project design and tools like logical framework					

35. What are the factors which hinders the implementation of effective baseline surveys for donor funded projects in Nakuru County……?

APPENDIX III: INTERVIEW SCHEDULE

Interview schedule for project managers, key stakeholders and beneficiary leaders participating in the donor funded slum upgrading projects in Nakuru County

Instructions: (Please read the instructions given and answer the questions as appropriately as possible).

Section A: The influence of stakeholder participation on effective baseline survey

i. Explain why it is important to carry out stakeholder analysis for baseline surveys ……..……..……

ii. How does lack of stakeholder participation affect ownership of donor funded projects in the community ……..……..……..……

Section B: The influence of project team competency on effective baseline survey

i. Explain why staff competency is vital in baseline surveys……..……..……

ii. Is it important to possess technical expertise to achieve effective baseline surveys……..……

Section C: The influence of project cost on effective baseline survey

i. Explain why budgeting is important for effective baseline surveys……..……?

ii. How is cost a key baseline survey success indicator……?

Section D: The influence of project Scope on effective baseline survey

i. Explain how project timelines affect the performance of baseline surveys……

ii. Explain why baseline survey scope is important ……

APPENDIX IV: LIST OF DONOR FUNDED SLUM UPGRADING PROJECTS

Project Name	Organization	Slums
Poverty Reduction through enterprise development and job creation	Hand in Hand Eastern Africa NGO	Kaptembwo, Bondeni and Elburgon
Gender, social inclusion and development of market systems	Practical Action	Rhonda, Bondeni, Kaptembwo, Kihoto
Capacity building on urban safe water systems through urban planning	Habitat International (UN)	Rhonda, Kaptembwo, Bondeni
Water treatment and sanitation and hygiene services	Life Water Kenya	Free Area, Rhonda, Kaptembwo,
Affordable prepaid in low income households (Slums) settlements in Nakuru town	USAID	Rhonda, Bondeni, Kaptembwo, Kihoto
Improved household access to safe drinking water supplies, proper sanitation and good hygiene practices	World Vision	Free Area, Rhonda, Kaptembwo,Kihoto
Environment conservation, water and sanitation in Nakuru slums	Life Water Kenya	Rhonda, Kaptembwo, Bondeni