The Nexus of Nongovernmental Organization Water Projects, Monitoring and Evaluation, and Kenya's Water Law

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DEDICATION

This dissertation is dedicated to my parents. It is because of their sacrifices that I got to where I am today. I am eternally indebted to them.

This dissertation is also dedicated to the rest of my family. They were my supporters and constant cheerleaders. Thank you for helping me see this through.

ABSTRACT

The goal of this research was to explore monitoring and evaluation (M&E) practices among non-governmental organizations (NGOs) in the Kenyan portion of the Lake Victoria Basin. The influence that NGOs have in international development, tales of development projects gone awry, and historically poor performance assessment practices among NGOs all raise questions about how NGO administrators assess their projects and understand the social impacts of their work. Monitoring and evaluation is one option for demonstrating project impacts and minimizing negative unintended consequences. Kenya is a particularly appropriate focal place to study NGOs because the country hosts many organizations.

This research used a case study of three NGOs, to address three questions regarding development project M&E: (1) How do the NGOs monitor and evaluate their projects? (2) Which methods and approaches do NGOs use to engage the community in project M&E? and, (3) How do customary laws and gender roles in the community influence NGO projects? The study found that M&E approaches varied and that budgets and funder preferences appeared particularly influential in NGO's choices about their M&E activities. Results of the study also suggested that the NGOs favored projects where people from the community were actively involved. However, the degree to which M&E activities involved the local community appeared limited. Finally, results suggested that customary laws and traditional gender roles are still important considerations for NGOs as they implement projects.

Also described in this research is the new role that NGOs can play in water management in Kenya. In 2002, the country undertook sweeping reforms to water management and moved to a more decentralized model. Water management in Kenya became even more complicated after the February 2013 general elections when a decentralized administrative governance structure also took effect. Despite all the transition in water law and administrative governance structures, Kenyans still need access to clean and safe water. NGOs can help by guiding citizens through the process of

forming grassroots organizations known as water resources user associations that support water management and service delivery. The three NGOs from the case study provided examples of how NGOs could become involved.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

INTRODUCTION TO THE DISSERTATION

Background

Access to clean and safe water is still beyond the reach of many people in developing countries. These countries also lack enough funds in their national budgets to build and manage the necessary infrastructure to support the water needs of their citizens. For that reason, non-governmental organizations (NGOs) partner with the governments in those countries to implement water and sanitation development projects.

NGOs invest significant financial resources implementing projects that improve access to water and sanitation in developing countries. For example, official development assistance commitments specifically designated for water projects in Africa rose from US$ 474 million in 2003 to US$ 1061 million in 2006 (OECD, 2008).

Kenya is among those developing countries where access to water and sanitation are a problem. Water supply coverage in the country is at 61 percent; 84 percent of urban residents and 54 percent of the rural residents have access to water (OECD, AfDB, & UNDP, 2014). Sanitation coverage is lower than water supply coverage. Overall, 29 percent of the population receives sanitation services; 31 percent urban residents and 29 percent rural residents have sanitation coverage (OECD et al., 2014).

Kenya is also home to a large number of NGOs, some of whom implement projects to help close the gap in access to water and sanitation services. When an organization wants to operate in Kenya, it must first register with the NGO Coordination Board. The Board is an organization created by an Act of Parliament in 1990 specifically to register, coordinate, and monitor the work of NGOs operating in Kenya. The registration process involves filling in a registration form (Appendix A, Form 3) and submitting the form along with an application fee to the NGO Coordination Board.

Problem Statement

Accounts of development projects gone wrong, the increasing influence NGOs play in development, and historically poor assessment practices among NGOs all raise questions about how NGO project administrators understand impacts of their activities. NGOs intend to improve people's health and well-being through their projects. While most NGO development projects make progress toward their goals, negative and/or unintended consequences sometimes occur due to poor management and assessment practices. Many project assessment efforts occur under difficult circumstances but there is still strong demand from various stakeholders including funding agencies, governments, civil society, and intended beneficiaries to answer basic questions about whether or not a program or project can and/or should be continued (Bamberger et al., 2012a).

NGOs that implement water and sanitation projects in Kenya also face the additional challenges in that there were recent changes to both the administrative governance and water management structures. These changes will impact development projects including those aimed at improving access to water and sanitation services. NGOs will need to figure out how to function given these new structures.

Methodological Approach

This dissertation presents the results of an inquiry into monitoring and evaluation (M&E) among NGOs that implement water and sanitation projects in the Kenyan portion of the Lake Victoria Basin (LVB). Monitoring refers to activities which begin during project implementation and continue through the duration of the project, to assess the efficiency and effectiveness of the inputs in achieving outputs; evaluation refers to activities that assess the extent to which projects or programs produced their intended outputs and produced changes or benefits in the targeted population (Bamberger, 2000). M&E is one way NGOs can minimize negative unintended consequences by tracking progress and assessing the impacts of their projects.

The study was inductive. An inductive research process uses findings from a few observed cases to inform an argument about patterns that may be generally true about unobserved cases (Hammersley, 2006); it provides a foundation for building insights and eventually theory. Practices among three NGOs were used to construct observations about M&E use in water and sanitation projects.

The study was also purposive. Purposive sampling deliberately selects participants who are likely to contribute relevant and in-depth data on a research topic (Oliver, 2006). Informants from NGOs in Kenya were chosen for this research deliberately because of the large number of NGOs the country hosts.

Kenya's NGO Coordination Board's register's status warranted an inductive and purposive approach to this project. First, there was no guarantee that the NGO Coordination Board's list was an accurate reflection of the organizations operating in Kenya. The Board appeared to have little contact with NGOs after the organizations completed registration. Second, there was no guarantee that NGOs still worked in the sectors[1] they specified during registration. Finally, there were also questions about the Board's ability to monitor NGO activities. A study that explored why NGOs operate where the organizations do also used the database and noted that flaws in the database existed (Brass, 2012b)

The "Black Box Model" for NGO project evaluation and shown in Figure 1 was an important influence in this research. The black box in the model represents the typical development project. The basic premise of the model is that project administrators rarely collect enough information about the project to assess whether it changed the lives of the recipients either positively or negatively (Bamberger, Rugh, & Mabry, 2012b). Therefore, I collected data about the information an NGO gathers during and after a water and sanitation project which the NGO would then use to assess whether the project changed access to water and sanitation services after the project.

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[1] Sectors are categories each NGO self-identifies as an area of emphasis during registration with the NGO Coordination Board. There are 24 possible choices.

Figure 1 "Black Box" approach to evaluation (modified from Bamberger et al., 2012)

Contents of the Dissertation

Chapter 1 -- Monitoring and evaluating water and sanitation projects: Lessons from non-governmental organizations in western Kenya

Chapter one discusses field research performed to learn about monitoring and evaluation (M&E) practices used by NGOs in the Kenyan portion of the LVB. This chapter addresses three questions using a case study of three NGOs. First, how do NGOs monitor and evaluate their projects? Second, which methods and approaches do NGOs use to engage local communities in project M&E? Finally, how do customary rules and gender roles in the community influence each NGO’s project? I found in this study that M&E approaches varied among the three NGOs and that budgets and funder preferences appeared particularly influential in NGO’s choices about their M&E activities. Results also suggested that the NGOs favored projects where people from the community were actively involved. However, the degree to which M&E activities involved the local community appeared limited. Finally, results suggested that customary laws and traditional gender roles are still important considerations for NGOs as they implement their projects.

Chapter 2 -- Decentralization in Kenya: The Role for Non-governmental Organizations in Water Resources User Association Formation

Kenya was on the cusp of ushering in a new decentralized system of government while I was in the field gathering data on M&E practices among the three NGOs. A major overhaul to water law occurred previously in 2002. These two events provided an excellent opportunity to examine what the effect of both changes would have on NGOs that implement water and sanitation projects. Chapter two begins with an overview of the changes to water law and administrative governance structure including challenges presented by each. The chapter then provides an account of how NGOs can help smooth the transition into catchment-level water management under the new decentralized administrative governance structure, specifically by assisting in the formation of water resources user associations. NGOs have the skills to help citizens form these important structures for water management and service delivery at a grassroots level.

Chapter 3 – Recommendations for Non-governmental Organizations, the Non-governmental Organization Coordination Board, County and National Governments, and Project Donors and Funders

Chapter three provides recommendations for NGOs, national and county governments[2], the NGO Coordination Board, and for project donors and funders. Recommendations for NGOs included for example, the need to develop an M&E plan and to increase training among local people so the local community can better participate in water management. Recommendations for county and national governments included staffing the NGO Coordination Board appropriately and decentralizing the Board to improve its function. Recommendations for the NGO Coordination Board included increasing oversight and establishing an M&E unit within the organization. Finally, recommendations for project funders and donors included encouragement for the support of projects that include women as participants and the need to adequately fund M&E. Overall, recommendations call for better communication and accountability among all these actors.

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[2] County governments are a new structure of the decentralized administrative governance system

Scholarly Contributions

The work described in this dissertation provides three scholarly contributions. First, the dissertation contributes to monitoring and evaluation research. That is, this dissertation is research *about* monitoring and evaluation. In this case, the research was about how NGOs use monitoring and evaluation as tools to minimize negative unintended consequences by tracking progress and assessing the impacts of their projects. A rigorous statistical analysis of NGO monitoring and evaluation practices would have allowed me to make generalizable statements about how such organizations use monitoring and evaluation. However, attempts to conduct such a study were unsuccessful because of the previously discussed flaws in the NGO Coordination Board database. This study was therefore limited to using empirical evidence from three NGOs as a basis for learning how monitoring and evaluation occur in an African context.

Second, the work described in this dissertation makes a small contribution to the ongoing debate about participatory monitoring and evaluation. Understanding the social and cultural contexts in which monitoring and evaluation occur is encouraged (Bamberger, Rugh, & Mabry, 2012c). In this study, community participation in monitoring and evaluation by the local community turned out to be beneficial, particularly in one of the three NGO water projects.

Finally, the work described in this dissertation contributes to knowledge about the implications of Kenya's evolving water law and decentralized administrative governance system on NGO. It describes how the evolution of water law affects NGO water projects. In particular, it highlights the disconnection between the county-based administrative governance system and the catchment-scale system for water management. It also describes how NGOs' can continue to play an important role in water management, particularly in rural areas, by helping communities form water resources user associations.

CHAPTER 1 - Monitoring and Evaluating Water and Sanitation Projects: Lessons from Non-governmental Organizations in Western Kenya

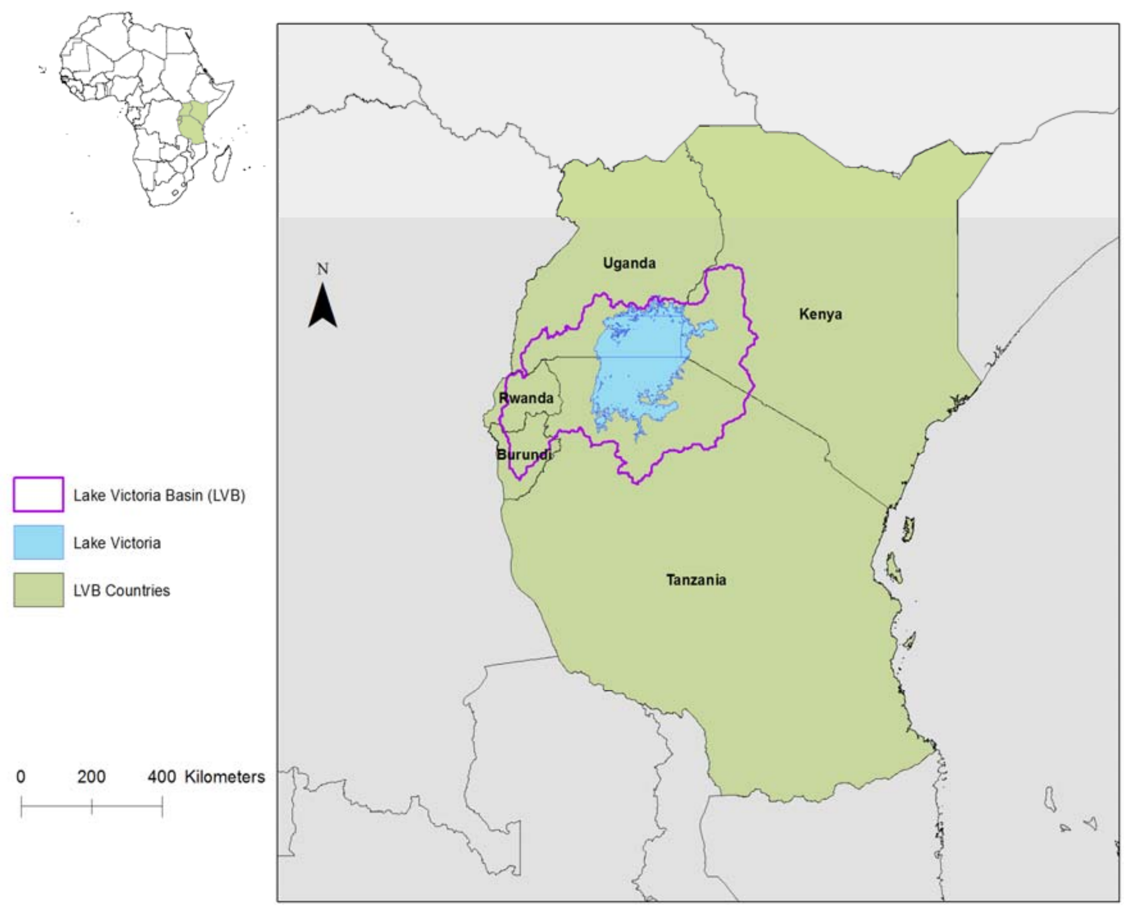
INTRODUCTION

The goal of this research was to explore monitoring and evaluation (M&E) practices among non-governmental organizations (NGOs) in the Kenyan portion of the Lake Victoria Basin (LVB). The influence that NGOs have in international development, tales of development projects gone awry, and historically poor performance assessment practices among NGOs all raise questions about how NGO administrators assess their projects and understand the social impacts of their work. Monitoring and evaluation offers one option to demonstrate project impacts and minimize negative unintended consequences. Many project assessment efforts occur under difficult circumstances however demand from various stakeholders remains for information regarding basic questions about whether or not a program can and/or should be continued (Bamberger et al., 2012a). Stakeholders in NGO development projects include funding agencies, governments, civil society, and intended beneficiaries. Kenya is a particularly appropriate focal place to study NGOs because the country hosts more NGOs than any other country in the East African region and possibly sub-Saharan Africa (Kruse et al., 1997a). Based on a case study of three NGOs, this research addressed three questions: (1) How do the NGOs monitor and evaluate their projects? (2) Which methods and approaches do NGOs use to engage the community in project M&E? and, (3) How do customary laws and gender roles in the community influence NGO projects? The study found that M&E approaches varied and that budgets and funder preferences appeared particularly influential in NGO's choices about their M&E activities. Results also suggested that NGOs favored participatory projects where people from the community were actively involved. However, the degree to which M&E activities involved the local community appeared limited. Finally, results suggested that customary laws and traditional gender roles are still important considerations for NGOs as they implement projects.

Challenges Facing Lake Victoria

Lake Victoria is the largest lake in Africa (69,000 square kilometers) and the second largest freshwater lake by area in the world after Lake Superior in the United States (82,100 square kilometers). Kenya (6%), Uganda (45%), and Tanzania (49%) share the shoreline. However, as shown in Figure 1.1, Rwanda and Burundi also influence the lake's health because they are also in the watershed that forms the lake Victoria Basin (LVB).

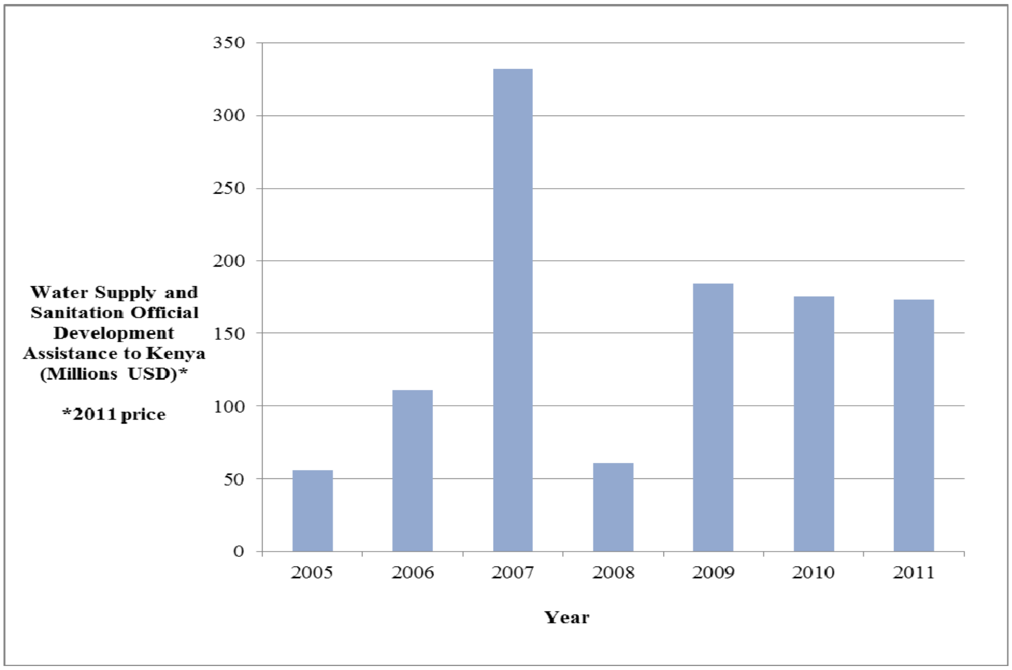
Figure 1.1 Location of Lake Victoria and the Lake Victoria Basin (Were, 2013a)



Managing Lake Victoria sustainably is critical because it is an important resource for people living around the lake. Declining environmental conditions threaten the shoreline countries' economies and their citizens' well-being (Muli, 1996; Ntiba, Kudoja, & Mukasa, 2001). For example, Kenya generates US$ 125 million from fish harvested from Lake Victoria (Awange & Ong'ang'a, 2006). Pollution from industrial and agricultural development threatens this income. Phosphorous loading from the landscape is high and if loading remains unchecked, the ecosystem's diversity and productivity will be irreparably damaged (Hecky, Mugidde, Ramlal, Talbot, & Kling, 2010). Rapid population growth in the LVB contributes to many of the issues plaguing the lake. The population grew from 26 million in 1999 (Awange & Ong'ang'a, 2006) to 40.5 million by 2010 (World Bank, 2012b).

National budgets in the LVB countries cannot address all research and management issues surrounding water management alone; therefore, many funds come from the international community (Crul, 1995; Ntiba et al., 2001). Millions of dollars go toward funding development projects, including projects related to improving access to water and sanitation. Figure 1.2 shows, for example, official development assistance (ODA) commitments to Kenya for water supply and sanitation projects from 2005 to 2011 (Organisation for Economic Co-operation and Development (OECD), June, 2013). ODA refers to grants or loans to developing countries and territories and to multilateral organizations such as the United Nations. Commitments are firm obligations by donors, expressed in writing and backed by actual funding, to provide assistance to a country or a multilateral organization. NGOs are important conduits for this funding.

Figure 1.2 Net overseas development assistance to Kenya for water supply and sanitation projects, 2005-2011



The Rise of NGOs in Kenya

Kenya experienced a dramatic rise in the number of NGOs especially in the years following independence from British rule in 1963. The number of organizations rose from 14 international, local, and national NGOs in 1940, to 511 by 1996, to 6,524 by 2000 (Amutabi, 2005; Osodo & Matsvai, 1997). Growth in the number of organizations does not appear to be slowing since by April 2013, there were reportedly 7,127 organizations (Republic of Kenya NGO Coordination Board, 2013). An increase in the number of NGOs did not go unnoticed by the Kenyan government. In 1990, Parliament established the NGOs Co-ordination Board to "register, co-ordinate, and facilitate the work of all national and international NGOs operating in Kenya" in an attempt to better manage the growth of NGOs in Kenya (Republic of Kenya NGO Coordination Board, 2009). The Board maintains a searchable database of NGOs registered and thereby approved to operate in Kenya. The Board defines an NGO as: *"a private voluntary grouping of individuals or associations not operated for profit or other commercial purposes but* *which have organized themselves nationally or internationally for the benefit of the public at large and promotion of social welfare, development, charity or research in the areas inclusive of, but not restricted to health, agriculture, education, industry and supply of amenities and services"* (Republic of Kenya Law Reports, 2011).

Proliferation of NGOs in Kenya is attributed to several factors related to the country's social, political, and economic history (Osodo & Matsvai, 1997). Kenya's climate makes it an ideal place for agriculture; as such, during the colonial period, Europeans found their "home away from home" and established large cattle ranches and coffee plantations (Agbola, 1992). Following independence, some European settlers did not want to return home. One way settlers were able to stay was to found NGOs and, using connections from home, draw funds into the country (Agbola, 1992). Meanwhile, the fledgling Kenyan government, headed by President Jomo Kenyatta faced the uphill task of building a nation. It was during his successor Daniel arap Moi's presidency from 1979 to 2002 that NGOs multiplied because donors and the public viewed them as more effective, transparent, and accountable in the way they used their money in development assistance projects (Osodo & Matsvai, 1997). NGOs in Kenya receive a majority of their total funding from international sources (Brass, 2012b).

Examples of Unintended Consequences from NGO Projects

Despite their best intentions, NGO projects worldwide sometimes result in unintended consequences. Throughout the 1980s, for example, development projects primarily funded by international donor agencies pumped money into Nepal to convert "primitive" farmer-managed irrigation systems into more sophisticated infrastructures (Lam, 1998). Unfortunately, these more sophisticated agency-managed irrigation systems failed to deliver results despite the investment. The agency-managed irrigation systems not only reduced irrigation performance, their construction led to inequalities in water availability between farmers located at the head and tail ends of the system. Water did not reach farmers at the tail end of the system. Another unintended consequence anecdote from the field recounts the experience of a European aid agency working in an African country (Ebbutt, 1998). Donors sought to improve quantity and quality of egg yield and meat production by distributing day-old chicks for rearing by foster hens in recipient communities. Recipients in the communities were polite and adhered to instructions they received but after three weeks, not a single chick remained in the trial communities. Unfortunately, the chicks were pure white in color making them glaringly visible against the red earth. As such, pied crows devoured every single one. The people in the community knew exactly what would happen but considered it inappropriate to point out the inevitable outcome because they did not want to appear critical of the donor's efforts to improve their lives. In addition, no one thought to consult the recipients about the wisdom of the project in the context of the community. In Kenya, the Ministry of Health worked with NGOs such as the African Medical and Research Foundation (AMREF) to distribute insecticide-treated mosquito nets to protect people from diseases. Researchers found residents in communities around Lake Victoria using these nets for fishing and drying fish, as shown in Figure 1.3, instead of using them in their homes to combat malaria as intended (Minakawa, Dida, Sonye, Futami, & Kaneko, 2008).

Figure 1.3 Bed net misuse in a Lake Victoria community in Kenya (Minakawa et al., 2008)

Monitoring and Evaluation of NGO Projects

Partly due to unintended consequences, NGOs are under continual pressure to demonstrate their effectiveness and the impact their projects have on society (Bamberger, 2000; Lingan, Cavender, Lloyd, & Gwynne, 2009). Monitoring and evaluation (M&E) is one way NGOs can minimize negative unintended consequences by tracking progress and assessing the impacts of their projects. For the purposes of this research, monitoring refers to activities which begin during project implementation and continue through the duration of the project, to assess the efficiency and effectiveness of the inputs in achieving outputs; evaluation refers to activities that assess the extent to which projects or programs produced their intended outputs and produced changes or benefits in the targeted population (Bamberger, 2000).

A global survey of local, national, and international-level NGOs found that many struggle to adequately monitor and assess the impacts of projects (Eckman, 1996). Among 92 organizations[3] surveyed, an average of 25 percent used M&E guidelines or standards and 38 percent provided an M&E procedures manual. In another study, the Organization for Economic Co-operation and Development's Development Assistance Committee commissioned a review of NGO projects in 26 developing countries and found that among 240 projects examined, despite increasing interest in evaluation, there was a lack of reliable evidence that NGO development projects had an impact (Kruse, Kyllönen, Ojanperä, Riddell, & Vielajus, 1997b).

A variety of factors contribute to poor M&E practices among NGOs. How the aid system approaches development, how the concept of performance is applied to NGOs, and how NGOs need to profile themselves to secure and maintain public funding and support are all cited as contributing factors (Conlin & Stirrat, 2008; Fowler, 2004). Others propose that assessment is poor because project work plans and budgets allocate few resources to M&E (Bamberger, 2000; Eckman, 1996). Many projects focus on

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[3] Type of Organization (Sample Size): United Nations (7), International NGOs (29), Regional NGOs (3), National NGOs (43), Government Agency (1), Other (6), Unknown (3)

monitoring project implementation and producing physical outputs or actions [such as number of seeds planted to hectares forested (Eckman, 1994b)] rather than systematically assessing whether intervention activities actually achieved intended impacts and benefits for the target population (Bamberger, 2000). Perhaps there are poor incentives to manage aid well (Lingan et al., 2009) or shifts in development thinking and practice render old evaluation models obsolete (Conlin & Stirrat, 2008). For example, randomized scientific experimental trials as a way to evaluate projects presents ethical challenges by excluding a control group from a development intervention (Conlin & Stirrat, 2008) Another proposed reason is that national evaluation agencies cannot keep up with the complications of working with multiple agencies that support similar projects but require different M&E formats and have different information needs (Bamberger, 2000). In many developing nations, donor agencies are the major M&E sponsors, so donor's needs may drive M&E practice (Bamberger, 2000).

Participatory Approaches for Monitoring and Evaluating NGO Projects

Development organizations that incorporate monitoring and evaluation (M&E) in their projects use many approaches. Performance indicators, for example, are measures of inputs, processes, outputs, outcomes, and impacts for development programs, projects or strategies that enable managers to track progress, demonstrate results, and adjust service delivery (Clark, Sartorius, & Bamberger, 2004). Cost-benefit analysis is another M&E approach. This method measures inputs and outputs to assess whether the cost of an activity can be justified by the outcomes and impacts (Clark et al., 2004).

Some M&E approaches are participatory (see Appendix B for more on participatory M&E methods). Participatory M&E gained traction in the 1990s when development rhetoric moved away from extractive surveys to M&E approaches where local people actively engaged in project assessment (Priscoli, 2004). This shift was due to concerns about giving voice to the poor and other groups impacted by development projects (Clark et al., 2004; Kharas & Molano, 2010). Although there are many definitions of community participation, engaging multiple viewpoints is central to, for example, balancing water rights with responsibilities for managing water (Priscoli, 2004).

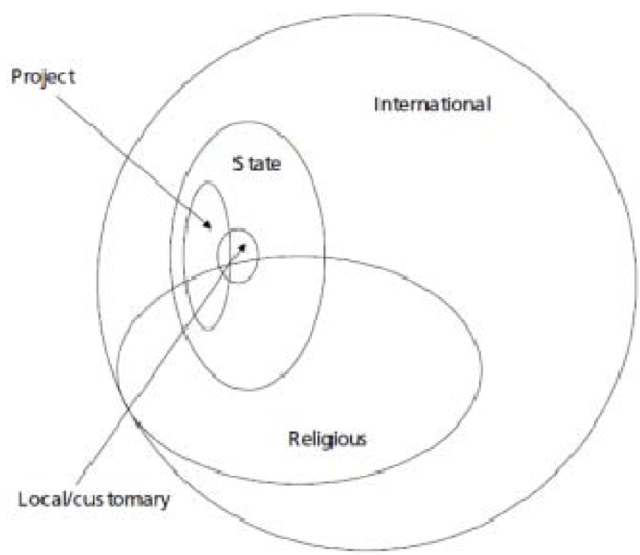
Arguments for participatory M&E cite several reasons for increasing community participation in development projects. These reasons include the argument that community participation improves implementation efficiency, cost recovery, and project sustainability (Bamberger, 1988). Another is that including local people enhances effectiveness and saves time and money in the long term (Cornwall & Jewkes, 1995). Misunderstanding, resentment, and outright sabotage of development projects can occur where development projects define resource use but exclude local people in decision-making processes (Eckman, 1994a). Empirical evidence exists supporting community participation in development projects. A study of 121 rural water supply projects from forty-nine countries in Africa, Asia, and Latin America investigating the link between participation and performance found that increasing community participation leads to better project outcomes (Isham, Narayan, & Pritchett, 1995).

There are also arguments against the assumption that increasing community participation automatically improves project outcomes. One argument against more community involvement suggests that increasing community participation has not lived up to expectations due to little political commitment, bureaucratic resistance, and inadequate resources (Gow & Morss, 1988). Another argument is that community participation in projects can lead to start-up delays and cooptation by certain groups in the community (Bamberger, 1988). According to another scholar, community participation is difficult to implement effectively because projects are clearly articulated sets of activities with little room for empowering people, one of the essential objectives of participation (Cleaver, 1999). Cleaver (1999) also argued that it is often unclear whether the individual, the community, or categories of people such as ‘women’ or the ‘poor’, are to be empowered. Others suggest there is a knowledge gap about whether the collaborative process works to improve environmental conditions despite investment (Koontz & Thomas, 2006).

Customary Law and Gender Roles in the Lake Victoria Basin

Incorporating participatory M&E into projects is more difficult for NGOs working in places like Asia and Africa because of the added challenge of customary laws. Customary laws are rules and norms regarding codes of conduct and are binding forms of agreement among members of an ethnic group (Burchi, 2005; Caponera, 1979). These cultural laws intersect and interact with numerous governmental laws including those more recently codified and adopted by post-colonial developing nations. Customary laws can supersede statutory law particularly in rural areas (Meinzen-Dick & Nkonya, 2007). Figure 1.4 shows one iteration of how customary laws overlap with other laws. All these laws could apply to the same NGO project.

Figure 1.4 Iteration of multiple co-existing laws in a water project (Meinzen-Dick & Pradhan, 2002)



In the previously discussed example from Nepal, the agency-managed irrigation systems failed because customary rules and norms regarding irrigation system operation were invisible to outside observers (Ostrom, 1999). The irrigation projects would have been more successful had donor agencies implemented strategies such as allowing the

Nepalese farmers to engage in rule creation and in designing rules of engagement that were enforceable and easy to monitor (Lam, 1996). ‘Modern’ water laws can avoid social tension by recognizing the existence of customary law (Burchi, 2005). However, customary laws are largely unwritten, therefore understanding them requires NGOs to engage the communities they serve in designing, implementing, and evaluating projects.

Kenya is a diverse country where customs vary among the approximately 50 ethnic groups that live there. The Luo are the predominant ethnic group, also known as a tribe, in the Lake Victoria Basin. The tribe is the fourth largest in Kenya with a population of four million and accounts for approximately 10% of the total population (Kenya Bureau of Statistics, 2010). With respect to customary laws, Luo kinship is based on patrilineal decent (Middleton, Rassam, Bradley, & Rose, 1996). As such, many aspects of life such as naming and residence after marriage revolve around men. In addition, age is deeply respected and elderly men are the representatives of family to the outside world. Another prominent custom among the Luo is the division of labor between men and women (Sobania, 2003). Men are traditionally the heads of the homestead; however, women are primarily responsible for making sure the household functions well. This means women are responsible for various tasks such as meeting the children’s health and educational needs and making sure there is enough fuel and food in the homestead. It also means that women are responsible for ensure there is enough water to meet the daily needs of the homestead (Sobania, 2003). Ensuring there is sufficient water for a household can be challenging when the source of water is far from the home, as is the case in many rural areas.

RESEARCH METHODS

Data for this research came primarily from in-depth analyses of projects implemented by three case-study organizations. Yin's replication approach to multiple-case studies guided case study use in this research (Yin, 2009). A description of the case study selection process and a discussion of the rationale for using the case study approach are first. Next, case reports describe various aspects of each organization including each organization's history, its funding sources, its project portfolio, and a description of the study project. A description of the data collection process follows the case reports.

Case Study NGO Selection

Selecting case study organizations began by soliciting recommendations on organizations that were most active in administering water and sanitation projects in the Kenyan portion of the Lake Victoria Basin (LVB). Recommendations came from Kisumu (Kenya) Water and Sewerage Company staff (municipal)[4], the NGO Coordination Board (government), community-based organizations[5] (community), faculty from local universities (academia), and personal contacts. During interviews to get recommendations, each of the ten participants was asked to name the NGOs that were, in their opinion, the most active. There were no limits on how many organizations each individual named. Seventeen organizations emerged from this process as potential case study NGOs. Eleven out of the seventeen NGOs were mentioned only once by interviewees. Of the remaining six, two NGOs were mentioned four times and four were mentioned three times.

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[4] The words in parentheses denote which area of expertise the recommender represented.

[5] In Kenya, Community Based Organizations are self-help membership groups that benefit only their members. They are built from grassroots efforts and generally have broad-based membership (Kameri-Mbote, 2000). They are non-governmental but are a different category of NGO in that they are community-level organizations.

The six NGOs mentioned multiple times were then reviewed based on three criteria. First, the NGO had to be registered and in good standing[6] with the NGO Coordination Board. Second, the organization had to implement projects in at least one of the Kenyan districts[7] in the Lake Victoria Basin. Finally, ‘Water and Sanitation’ (WATSAN) had to be among the sectors[8] the NGO selected as an area of emphasis in their NGO Coordination Board registrations. WATSAN NGOs were targeted because they operated projects most directly related to improving the aquatic condition of Lake Victoria. Examples include projects to reduce water extraction from the lake by building water storage facilities that harvest rain. Such projects would also improve sanitation because the local people would no longer depend on the polluted lake as a water source. All six organizations passed these requirements.

Next each of the six NGOs were contacted to learn more about them and to ask them if they were willing to participate in this study. The process began with Internet research on each organization to find their offices and identify the appropriate contact person. The Internet search was also useful in gauging the NGO’s status as an active participant in administering WATSAN projects as in this digital age, more active organizations are most likely to maintain Web pages. Attempts to contact one of the six remaining NGOs were unsuccessful. Their offices were vacant and there was no forwarding address. In addition, repeated attempts to reach the person listed as the director via e-mail and phone were unsuccessful. Three of the remaining organizations were also eliminated from the pool because when contacted, none actually emphasized WATSAN projects despite listing it as a sector of emphasis during registration. The

[6] NGOs can lose their registration certificates if the organization breaches the terms and conditions of its registration with the NGO Coordination Board. The Board has the authority to deregister NGOs.

[7] Kenya was subdivided into several layers of administrative units. Provinces were the largest spatial unit followed by district, division, location and sub location, respectively. This administrative structure changed in 2013 when a new decentralized government system took effect. The country is now divided into forty-seven counties.

[8] A sector was the category each NGO self-identifies as an area of emphasis during registration with the NGO Coordination Board as their emphasis area(s). There were 24 sectors for organizations to choose.

NGOs' work portfolios had changed. One of the organizations implemented projects advocating reproductive rights, another taught small business management and leadership skills, and the last one worked on HIV/AIDS issues. Only two NGOs remained as case study candidates after this second phase.

One more NGO was added to the two remaining organizations. This additional organization emerged through personal contacts. It was omitted initially because it was not named among the most active in administering WATSAN projects. However, the NGO administered a project that fit the case study criteria. In addition to the enhanced conclusions an additional sample unit offers, the third NGO provided a non-local perspective because the organization is based in the United States.

Table 1.1 shows an overview of the three NGOs selected as case studies. At their request, the organizations are not identified by name. As such, they will be referred to as the International NGO, the Tank and Latrine NGO, and the Well NGO for the remainder of this paper.

Rationale for a Case Study Approach

Quality of the data in the NGO Coordination Board database made a case study approach more appropriate for this research as opposed to an approach that used rigorous statistical analysis. The initial query for NGOs that operate in the LVB yielded 793 NGOs but there was no guarantee the list was an accurate reflection of the organizations operating in Kenya. First, the database lacked any indication of whether an organization on the list was active, inactive, or had left the country altogether. For instance, an NGO Coordination Board staff person interviewed during case study selection referred to 'briefcase NGOs' (Valerie Were, personal communication with R.O., 5 February 2013). The term refers to an NGO that is literally someone carrying a well-written proposal in a briefcase (Fowler, 1997). Once an NGO registers and is in the system, it appeared to remain there indefinitely unless the Board deregistered it for some reason. Registrations had no expiration so there was no indication of whether the NGO still functioned.

Second, there was no guarantee that the NGOs still worked in the sectors they specified during registration. During registration, NGOs self-select the areas of emphases they intend to focus of their activities. In another case study selection interview, the person said organizations strategically choose to list themselves as one-stop shops. That is to say, NGOs purposely list sectors outside their core areas of work rather than potentially opening themselves up to questions from the NGO Coordination Board and/or the Government about working outside their approved list of sectors (Valerie Were, personal communication M.S., 8 April 2013).

Finally, there were also questions about the Board's ability to track NGO activities. The Board requires NGOs to submit annual reports at the end of the NGO's fiscal year. A study using NGOs in Kenya to explore why NGOs work where they do found that the NGOs rarely submitted the required annual reports to the NGO Coordination Board and no one followed up because the Board had inadequate staff (Brass, 2012b).

Table 1.1 Organizational profiles of the three case study NGOs

	International NGO	Tank and Latrine NGO	Well NGO
Year Founded	1999	1992	2000
Headquarters	United States	Kenya	Kenya
Total Number of Staff at NGO	Total = 13 Administration 1 Executive Director (US) 1 Assistant Director (US) 2 Country Directors (Kenya and Uganda) Other Staff 1 On-site volunteer (Kenya) 1 technical consultant (Kenya) 7 Staff (Uganda)	Total = 38 (all in Kenya) Administration[9] 1 Executive Director 2 Deputy Directors 1 Head of Personnel Other Staff 34 Staff in 3 departments	Total = 16 (all in Kenya) Administration 1 Executive Director 3 Management Team members Other Staff 1 Professional 11 Support (e.g. office assistants and drivers)
Funding Sources/Partners	Private donations	• Swedish International Development Cooperation Agency • African Fund for Endangered Wildlife • Global Nature Fund	• WATERCAN (Canadian water charity) • SIMAVI (Netherlands) • UN-HABITAT • Bill & Melinda Gates Foundation
Sector(s): These are categories each NGO self-identifies as an area of emphasis during registration with the NGO Coordination Board. There are 24 possible choices.	Agriculture, Children, Disability, Education, Environment, Gender, Health, HIV/AIDS, Population and Reproductive Health, Water and Sanitation, Welfare, Youth	Education, Environment, Health, Peace Building, Population and Reproductive Health, Water and Sanitation	Agriculture, Governance, Water and Sanitation
Study Project Countries	Kenya and Uganda	Kenya, Uganda, Tanzania, Rwanda, and Burundi	Kenya
NGO staff assigned to case study project	5	3	3
Project Start	1999	2005	2001
2013 Project Status According to NGO	Ongoing	Complete (June 2013)	Complete

[9] This is the staff in Kenya. Staff in the other countries work for NGOs in their respective countries and are not considered part of the core project staff.

Case Report 1: The International NGO

Founding Story

Two individuals dissatisfied with their volunteer experiences with another organization founded the International NGO in 1999. They thought that the NGO they were volunteering with, and others like it, could be more successful if the NGOs asked people in the community exactly what the people needed to lift themselves out of poverty. As such, the two individuals founded their own organization. In contrast to other organizations, they wanted to build strong relationships with the people in the communities. Rather than merely directing aid, the individuals wanted their organization to fund start-up costs of community projects, train people to become economically self-sufficient, and develop ways to meet medical and educational needs. Specifically, they wanted any money raised by their organization to serve three purposes: (1) improve self-sufficiency among people in the community, (2) allow people to maintain their dignity, and (3) preserve their culture while they worked to provide for their families. At the time of this research, the NGO worked in Kenya and Uganda.

Organizational Structure

The NGO had a Board of Directors, a Steering Committee, and staff in the United States, Kenya, and Uganda. The Board of Directors had nine people, including the founder. The Board's function was to make decisions about the projects. There were 12 people on the Steering Committee. The Committee did not have a management role in the organization. The Committee's role was to provide guidance according to each person's expertise whenever needed.

At the time of this research, the NGO had staff in the United States, Kenya and Uganda. The NGO's Executive Director was based in the United States as was the Assistant Executive Director. There were two Country Directors in Africa, one in Uganda and one in Kenya to oversee the day-to-day work in each country. Seven staff people supported the Director in Uganda. The Director in Kenya worked with a volunteer who lived in the project community and a consultant to implement the project in Kenya.

Funding

The majority of the operating funds for the International NGO came from private donations. The organization received a few matching grants but private donations were the largest source of income at the time this research project was conducted. The organization held one major fundraising event each year and had, in past events, raised over $80,000 in an evening.

Reliance on private donations to fund the NGO's work meant that the organization depended heavily on volunteers to do most of its work. The Executive Director and the Country Directors in Africa were the only staff compensated for their time. Administrative office tasks and event production relied on volunteers donating time to the organization. Furthermore, none of the people on the Board of Directors or the Steering Committee received money for their time.

Project Portfolio

The International NGO administered projects in Kenya and Uganda. Between the two countries, there were four geographical areas in which the NGO implemented it activities. Several activities occurred at each site in both countries.

At the project site in Uganda, the International NGO built 24 homes for families with at least one person with a disability, and another 32 for women who lived in a slum previously. The NGO also funded construction of a clinic to improve health and sanitation.

There were three project sites in Kenya. As in Uganda, the International NGO supported several activities at each site. At one site, the NGO supported a voluntary counseling and testing facility that offered HIV/AIDs testing and counseling. At the same site, the NGO supported a social worker and child advocate who also worked on environmental conservation issues. A literacy group, basket weavers association, and school also benefited from the International NGO's support at this site.

Much of the work at the second project site in Kenya involved the NGO organizing people in the community into self-help groups. A women's group for example, ran a tailoring business. Another group of women ran small enterprises such as cafes.

The Study Project

The third project site in Kenya was the case study project site for this research because work to improve access to water and sanitation occurred at this site. Work at this site began in 1999. A clinic was the first thing the community needed because of concern that their children were dying from curable diseases. Once the clinic was operational however, a large number of the patients came to the clinic with water borne diseases. As such, the organization’s next undertaking was to improve access to clean water by building a storage tank for the community. There were also plans to expand the system and distribute the water through a series of kiosks where people could buy water at a nominal fee. Previously, the community bathed and fetched water from any nearby source including Lake Victoria.

Case Report 2: The Tank and Latrine NGO

Founding Story

The Tank and Latrine NGO began as an environmental lobby organization in Kenya in 1992. The organization lobbied on behalf of local communities to raise awareness about the issues facing Lake Victoria both nationally and internationally. Their first message was that although the lake was not drying up, it was dying because it could not support the livelihoods of those people living around it. Eventually, the NGO sought to transition itself into an organization that empowered communities around the lake to become key participants in the lake’s management and beneficiaries of the resources it provides. The organization sought to accomplish these goals through training, research, policy advocacy, education, information dissemination, and networking with other entities such as schools, women’s groups, other NGOs, and youth.

Organizational Structure

The Tank and Latrine NGO had a four-person Board of Trustees to provide general guidance to the organization. The seven-person Board of Directors was responsible for the day-to-day management of the organization. Members of the Board of Directors included the Executive Director, a Deputy Director in charge of Finance and Administration, and a Deputy Director in charge of Programs. The remaining staff were assigned to one or more projects discussed in the project portfolio section for this NGO.

Funding

The Tank and Latrine NGO was successful at grant writing as shown by the numerous entities funding its projects at the time of this research (See Table 1.1). The Swedish International Development Agency, African Fund for Endangered Wildlife, and the United States Agency for International Development were among those supporting the NGO financially. The African Fund for Endangered Wildlife, for example, supplied funds for building the organization's headquarters. The Swedish International Development Agency helped the organization expand programming beyond Kenya.

Project Portfolio

Good Practices Project

The Global Nature Fund funded the Good Practices Project. There were two main activities in this project. First, the NGO was testing a water purification system that does not require electricity and is located in schools. The goal was to reduce incidences of cholera and typhoid among the students. Promotion of organic farming in schools and villages was the second activity that occurred as part of this project. The NGO wanted to promote self-sufficiency and to advocate sustainable farming practices by substituting commercial fertilizers with fertilizers derived from animal and human waste.

Health of People and Environment within Lake Victoria Basin Project (HOPE-LVB)

The Tank and Latrine NGO partnered with another organization to implement this project in Kenya and Uganda. HOPE-LVB was a three-year pilot project to provide lessons on how to integrate population, health, and environmental projects to better address vulnerable communities in fragile ecosystems. This project's goal was to conserve biodiversity and reduce environmental degradation while also maintaining access to family planning and reproductive health services. Programming therefore included strengthening the local health facility's ability to serve the community and teaching the community about sustainable fishing practices. Funding came from the John D. and Catherine T. MacArthur Foundation, United States Agency for International Development, and the David and Lucile Packard Foundation.

Environmental Education Program

The Environmental Education Program targeted students of all ages, from kindergarten to university. Students and their teachers visited the Tank and Latrine NGO's offices to learn about environmental stewardship. With the help of an American University, the Tank and Latrine NGO developed age-appropriate curricula to teach the students when they visit. For a nominal fee equivalent to $1 per teachers and less per student, visits included activities such as a lecture about Lake Victoria and the things that the student can do in their daily lives to improve the lake's health, a tour of the NGO's facilities, and a boat ride. In 2011, 260 groups visited and in 2012, the number increased to 480 groups.

Radio Station

The Tank and Latrine NGO managed a radio station that the organization used as a vehicle for educating, informing, and entertaining listeners who can tap into the signal. The United States Agency for International Development among others funded the station. Topics discussed on the station's programs included HIV/AIDs, civic rights, news, education, and environmental issues.

The Study Project

The study project for the Tank and Latrine NGO began in 2005. Project implementation occurred in phases; Phase I occurred from 2005 to 2008 while Phase II occurred from 2008-2011. The project was implemented in all the countries in the Lake Victoria Basin (Kenya, Uganda, Tanzania, Rwanda, and Burundi). I focused on the project's activities in Kenya.

There were four main activities in Phase I. First, the organization worked with industrial companies to reduce point source pollution to the lake. The NGO focused on educating people responsible for managing effluent disposal about how their discharge affects wetlands and water quality in Lake Victoria.

Second, the NGO built tanks in individual homesteads to harvest rainwater from rooftops and rehabilitated springs to improve water access. The NGO also trained community members to build ecological sanitation (EcoSan) toilets to improve sanitation. These activities were driven by the community's need to address schistosomiasis, a water-borne illness also known as bilharzia (Valerie Were, personal communication with E.O., 23 January 2013). Schistosome worms enter the human body when a person is exposed to the infected snails that host the worms (Fenwick, Gabrielli, French, & Savioli, 2013). Symptoms include blood in the urine and diarrhea and left untreated, schistosomiasis can lead to death (Fenwick et al., 2013).

Third, the NGO also provided training services. One training activity included teaching anyone interested in learning about basic project management skills. This was a 21-day in-house training process that also included two weekend field trips. At the end of the training, participants received a certificate of completion. The other training activity involved helping the local community set up Village Environmental Committees (VECs). Through demonstration and education, the intention was that VECs would promote environmental stewardship in their communities.

Finally, the NGO partnered with another organization to promote awareness, educate local communities about HIV/AIDs, and provide counseling services. The partner organization was responsible for counseling while the Tank and Latrine NGO used the radio station for education.

When I visited the NGO, the project was completing Phase II. In this phase, the organization focused on strengthening VECs so these entities could function on their own. The Tank and Latrine NGO helped VECs start income generating activities in the communities such as growing trees to sell and beekeeping so people could eventually sell honey. There were also visits among VECs in the different project countries so they could learn from each other’s experiences.

Case Report 3: The Well NGO

Founding Story

The Well NGO formed in 2000 from the Rural Domestic Water Supply and Sanitation Programme (RDWSSP). The Governments of Kenya and the Netherlands originally implemented RDWSSP to promote development of and access to water and sanitation services in the Lake Victoria region. The Netherlands eventually decided to stop funding the program but decided to hand over and support a local entity to carry on activities. The local organization, he Well NGO, registered as an NGO officially in 2001.

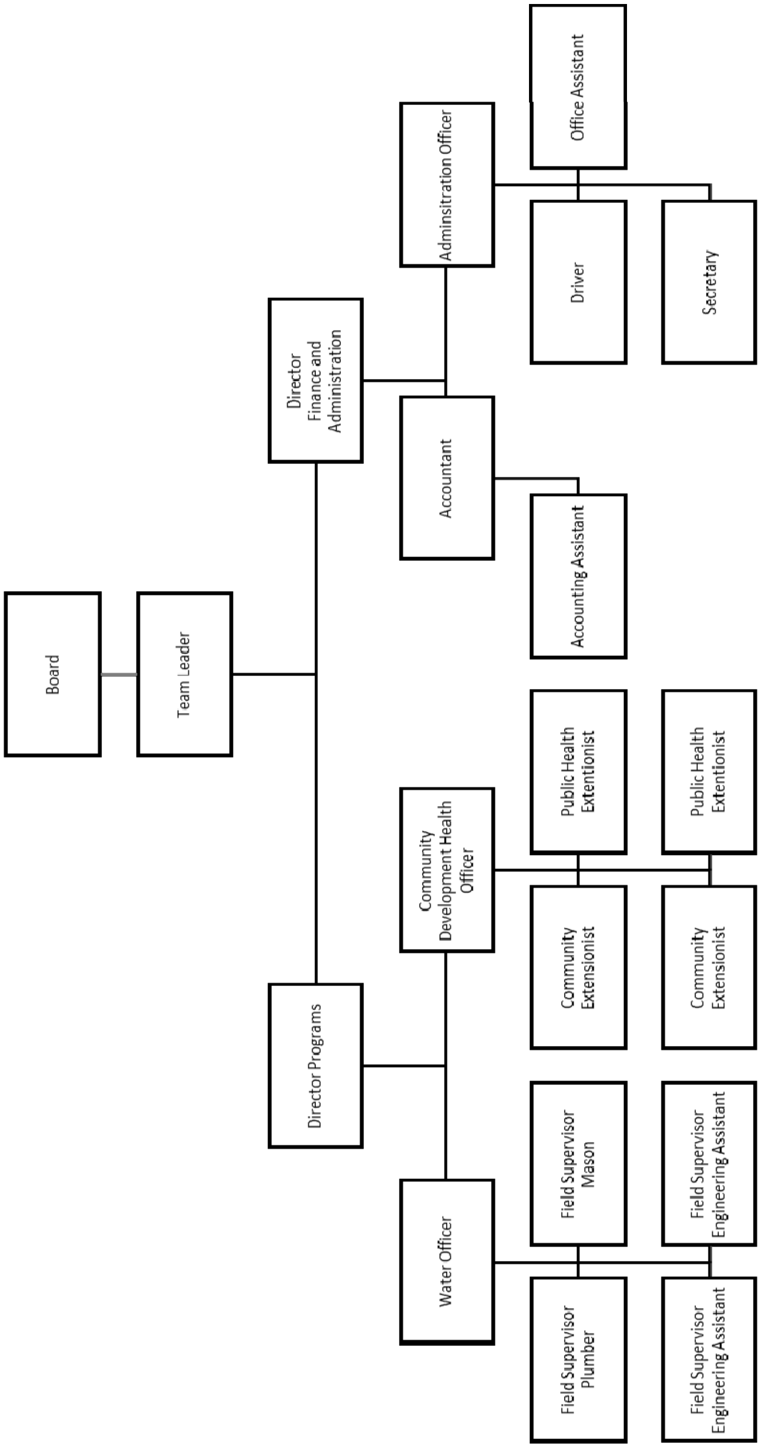
Organizational Structure

The Well NGO had many staff and a detailed organizational structure as shown in Figure 1.5. An eight-person Board of Directors headed the Well NGO. The Team Leader oversaw the NGO’s day to day operations. At the time I visited the NGO, some of the positions were vacant; there were sixteen active staff.

Funding

The Well NGO functioned by partnering with communities and operated on a demand-driven model for funding its projects. This model meant that the community generated project ideas and approached the Well NGO for help implementing the project. The Well NGO used the community's ideas to approach potential donors to fund the project. The NGO worked with the community to implement the project once a project received funding. The community had to cost-share in the project, except on projects that involved children. Cost-sharing included monetary contributions but also included labor if the project involved building a physical structure. Projects that involve children typically did not require cost-sharing because of laws that prohibit child labor.

Figure 1.5 The Well NGO's organizational chart



Project Portfolio

The organization's main work areas included tackling issues related to water, sanitation, hygiene, capacity building (community organization), networking, and collaboration. By the time I visited the NGO, the organization had completed seven projects and had ten ongoing projects. Five out of the seven completed projects involved latrine construction or pump and well installation. One of remaining two projects improved irrigation efficiency among farmers. The other project gathered citizen experiences with water access to create a Citizen's Report Card for city officials to use for improving water service delivery in three Kenyan cities including one in the Lake Victoria region. Among the ten ongoing projects, half focused on improving water access in schools by building rainwater harvesting tanks and improving sanitation by building latrines. The other half of the ongoing projects included household-level projects such as those provided small grants for people to build latrines to improve sanitation.

The Study Project

The study project began when the Well NGO was helping build better pit latrines to improve sanitation. The NGO staff realized there was no point in improving sanitation if the people still used dirty water to wash their hands. As such, the NGO helped dig a well. Water was pumped into two tanks, and then distributed to a network of seven kiosks where people bought water for a nominal fee. In addition, approximately sixty piped connections distributed water to private residences where meters tracked use and generated an invoice monthly. Improving access to clean water for the community also benefited the school where the storage tanks were located. The school benefited from the electricity installed to run the pump and the students drank clean water at no cost.

Data Collection

Data collection occurred during a series of visits to western Kenya between September 2011 and February 2013. Before I could begin fieldwork, I sought and received approval for my research from the Institutional Review Board (IRB) at the University of Minnesota. The IRB reviews research that involves human subjects for two broad purposes: (1) to ensure that that research subjects are not placed at undue risk, and (2) to ensure that the participants know what the study entails and participate with a full understanding of the research.

One of the data sources for this research was a survey that I developed using UMSurvey, a survey tool available to University of Minnesota students, faculty, and staff (University of Minnesota Office of Information Technology, April 3, 2013) Appendix C is a copy of the survey. Dillman's Tailored Design method guided survey production and administration (Dillman, Smyth, & Christian, 2009). The survey questionnaire was pre-tested both in the United States and in Kenya. Pre-testing in the United States occurred to ensure the questionnaire flowed well and to address potential issues with understanding the questions. Pre-testing in Kenya occurred for the same reason but was also necessary to ensure the questions were appropriate culturally. The final survey was administered to each case study NGO electronically since all three organizations had access to the Internet. An electronic version also facilitated transfer into Microsoft Excel for analyzes such as summarizing responses and creating graphs and charts if appropriate.

The survey included 30 questions divided into seven major sections. The first asked general information about the person filling out the survey and the organization. Section 2 asked about the primary type, typical size, and number of direct participants in the average project the organization oversees. Section 3 asked about the organization's M&E practices including questions such as whether the organization used written guidelines or standards. Section 4 asked about post-project goals and M&E after the project ends. Section 5 asked about the organization's experiences with local customary laws. Section 6 asked for overall opinions on project M&E and Section 7 asked if the organization would like to receive the results of the survey and their preference for how to receive the results. The cross-case comparison section discusses Sections 1 to 5 of the survey.

The survey included several question formats. The majority of the questions asked the respondent to select one choice from a list of options presented and gave them the option to add something that was not on the list. A few questions asked respondents to check all that apply. The survey also included a few open-ended questions particularly in the section that asked about customary law. Where respondents were asked for numeric answers, such as the number of direct participants in the average project, response choices were presented as a range.

Data from the case study organizations also came from spending approximately one month with each organization to interview staff at the NGO's office and shadow staff as they visited project sites. Using these additional methods was essential to corroborating information received from the survey. Semi-structured interviews with at least two staff gave an overview of the organization, M&E practices at the organization, and information specific to the project selected for analysis (see Appendix D for the semi-structured interview questions). At project sites, participant observation of project activities provided insight into community engagement. The site visits were primarily meetings to check on project progress. Notes taken during and after the site visit documented observations such as how women participated in the gathering, interactions between project participants and NGO staff, and the status of the project. Whenever possible, informal conversations occurred with project participants to learn about their experiences with the project and the NGO. Those informal conversations focused on learning about the origins of the project and the participant's overall impressions of project progress.

CROSS-CASE COMPARISON

This section compares the results from the survey, interviews, and site visits among the three case-study organizations. Overall, I found that M&E approaches varied and that budgets and funder preferences appeared particularly influential in the NGO's choices about their M&E activities. Results also suggested that the NGOs favored participatory projects where people from the community were actively involved. However the degree to which M&E activities involved the local community appeared limited. Finally, it appears that customary laws and traditional gender roles are still important considerations for NGOs as they implement projects.

General Project Information

After general questions about the organization such as the name and respondent's role in the organization (Appendix C, Questions 1 to 6), the next set of survey questions aimed at getting a general sense of the primary type, typical size, and number of direct participants in the case-study projects each organization oversaw (Appendix C, Questions 7 to 11). All the case study NGOs reported that they administered projects in the Lake Victoria Basin (Appendix C, Question 7). Respondents were not prompted to answer what types of projects the organization administered and which districts they worked in (Appendix C, Question 8 and 9) because the organizations said they worked in the Lake Victoria Basin (LVB).

Next, the organizations were asked how many projects the organization administers and how many people participated directly in the average project (Appendix C, Questions 10 to 11). The International NGO and the Tank and Latrine project NGO both administered fewer than ten projects as discussed in the case reports and verified during the time spent with each organization. The Well NGO had ten ongoing projects.

Two out of the three case study NGOs' projects had large numbers of direct participants (Appendix C, Question 11). The Tank and Latrine NGO and Well NGO's projects involved more than 1000 direct participants each. With the Tank and Latrine project NGO, the number of direct project participants was large because the project studied was administered in all five of the LVB countries. The Well NGO's numbers were also large given that there were approximately 500 students at the school where the main tanks were located, another 60 connections to private homes, and several water kiosks where anyone could buy water. The International NGO's project involved the fewest number of people among the three organizations according to its response of "500 people or fewer." Interviews with staff and site visits verified these responses.

Monitoring and Evaluation Methods and Approaches

Monitoring and evaluation (M&E) practices among NGOs were the next area explored on the survey. Factors such as presence or absence of guidelines and standards, responsibility for collecting the information, and methods used to collect information established M&E practices (Appendix C, Questions 12 to 18). The first survey question in this section asked whether the organization had written guidelines or standards for M&E. This question gauged whether the organization linked, conceptually, its project's activities to the project's impacts and whether there was a consistent manner for measuring those links from project to project.

Monitoring and evaluating the International NGO's project was easy initially, according to one of the members of the Board of Directors, because the organization used simple measures to assess progress (Valerie Were, personal communication M.S., 8 April 2013). For example, the clinic's purpose was to reduce the number of people suffering from water-borne diseases. One simple performance measure was to track the number of people coming to the clinic to see if there were fewer complaints related to water-borne disease. However, when construction of the water storage tank and distribution system began, the International NGO had not built in written standards or guidelines for monitoring and evaluating the project (Valerie Were, personal communication with A.W., 28 December 2012). Furthermore, no one on the NGO's staff or board had training in M&E (Valerie Were, personal communication with A.W., 28 December 2012). The Board member I spoke with recognized the lack of a robust approach and said the situation needed to improve (Valerie Were, personal communication M.S., 8 April 2013). The NGO sometimes provided updates on ongoing project work via a newsletter which it made available for download from its Web site. The newsletter included short paragraph summaries of project activities. The audience for the newsletters was primarily donors to the organization.

The Tank and Latrine NGO's M&E plan for the study project had three components. First, at each project site, a village environmental committee (VEC) gathered information about the project's activities from the community and reported to the Tank and Latrine NGO. The NGO developed a simple form for each VEC to complete. Information on how the VEC used the finances they received and how many tanks and toilets the community constructed were among the pieces of information collected. Second, the Tank and Latrine NGO assigned a staff person to visit project sites once a quarter and audit the sites using internally-developed guidelines. The NGO staff visited the sites to verify information received form the VECs. The Tank and Latrine NGO then produced annual reports to provide the project donor with a narrative description of the project's progress. The NGO also provided financial reports to the donor. Finally, the primary donor brought in an external consultant to assess the entire project. The external consultant conducted three evaluations in all, a baseline, a mid-term, and a final evaluation. The mid-term evaluation for example, assessed whether the project developed according to the original intentions and whether the project contributed to changes in the Lake Victoria Basin. The consultant used a combination of focus group discussions, key informant interviews, and field observations to review the project.

The Well NGO built M&E in the organization's project planning and implementation step as shown in Figure 1.6. People from the local community participated in development of the project M&E matrix used for tracking the projects progress and assessing its impact. The matrix included information on the planned activity, an indicator for measuring the planned activity, the means of verifying that the task was complete, a symbol to show it is done, and the time-frame for completion. To address any potential literacy issues, the Well NGO used a simple symbol chosen by the local community to identify when a task was complete (Valerie Were, personal communication with R.M., 5 January 2013). The last phase of implementing the project involved reviewing the action plan continuously to see which tasks were complete and which were unfinished.

The Well NGO based its project planning and implementation approach on the Participatory Hygiene and Sanitation Transformation (PHAST) method. PHAST is a seven-step process for community planning that has been used in the health field to prevent diarrheal disease (Wood, Sawyer, Simpson, & World Health Organization, 1998). Steps include the following: working with the community to identify the problem the project will solve, analyzing the problem, planning for solutions, selecting among multiple options which course of action to take, planning for behavior change, planning for M&E and finally, participatory evaluation.

Figure 1.6 The Well NGO's project planning and implementation process

Confirm Primary Project Recipients

e.g. School management, Village resource (home health worker), Patrons, School health club, Caretakers – operation and maintenance (tell community this is the key to project sustainability)

↓

Project Orientation with the Recipient(s)

- Identify problem the project will solve
- Analyze problem, develop potential solutions, and decide which option to pursue

↓

Detailed Work Plan

Includes activities, resources, time-frame, and indicators for tracking

↓

Project Participation Monitoring and Evaluation (PPME)

- Go through each part of the detailed work plan and assign indicators.
- Participation from community is key to this part of the project planning process
- Each person in the structure comes up with their own PPME Matrix which includes the planned activity, the indicator, the means of verification, a symbol to show it is done (for the illiterate), and the time-frame for completion

↓

Training – Skills in project management

- Topics include leadership, management, conflict resolution, hygiene promotion, operation and maintenance
- Manuals developed in-house and reviewed twice since organization started.
- Borrowed from Participatory Rural Appraisal
- Ensures that "software" remains once Well NGO leaves

↓

Technical Team Starts

e.g. Well construction team

↓

Project Operational

e.g. Pump starts working and people can buy water from a kiosk

↓

Phase-out

- Gather all stakeholders to review Action Plan
- Community presents results of project including M&E results
- Well NGO goes back depending on money available but don't promise to go back.

So why were there differences among the case study organizations with respect to M&E standards, guidelines, and approaches? Ultimately, the most common factors that drive M&E are budgets, time, data constraints, and political influences (Bamberger et al., 2012a). Any change in one or more of those factors comes with trade-offs between available resources and what is an acceptable standard of evaluation. In the International NGO's case, budget was likely the most influential factor for why the organization lacked written M&E standards. The International NGO operated entirely on private donations, as shown in Table 1.1, compared to the others such as the Well NGO that had larger donors (e.g. the Bill and Melinda Gates Foundation). As such, the International NGO could less likely afford to hire either an internal evaluation specialist or an external consultant. In addition, the organization had expenses the other NGOs did not have such as securing and renewing work permits annually for the foreign employee based in Kenya.

NGO project donors sometimes choose to bring in an external consultant to conduct M&E, as was the case in Tank and Latrine project. This choice between internal versus external evaluators is based on several factors (Conley-Tyler, 2005). The factors Conley-Tyler (2005) discussed include the knowledge of project's context. Internal evaluators are an advantage because they already understand the context under which the project began. Given enough time however, a skilled external evaluator can develop the same sensitivity (Conley-Tyler, 2005). External evaluators are perceived as objective compared to internal evaluators because the external evaluators are not part of the organization and may have fewer obligations and relationships that could bias evaluation (Conley-Tyler, 2005). A review of the Tank and Latrine NGO's profile also explained why donors hired an external evaluator. Compared to the others, the Tank and Latrine NGO's project was implemented in each of the five countries in the LVB as opposed to just one or two. The project was set up such that there were partners, other NGOs, in each country. These local NGOs were responsible for activities in that country but the overall project was coordinated by the Tank and Latrine project NGO in Kenya. Such a large-scale project coupled with the lack of capacity among the NGO partners in each country to conduct thorough M&E analyses of the whole project are potential reasons why the donor for project hired an external consultant (V. Were personal communication with M.O., 16 January 2013).

Responsibility for Collecting Monitoring & Evaluation Information

The second question on the survey about M&E approaches asked the case study NGOs whose responsibility it is to collect the information used in M&E. This question was intended to gauge whether direct project participants were involved in collecting information and could indicate community participation. The NGOs were presented with six options (Appendix C, Question 13). The person filling out the survey had the opportunity to add a response.

The NGOs differed in survey responses who had primary responsibility for collecting M&E information. The International NGO selected “NGO field staff”, the Tank and Latrine NGO selected “NGO headquarters or regional staff,” and the Well NGO selected “project manager.” Interviews with staff and the site visits confirmed these responses. With the International NGO, the field staff person kept track of what was going on with the project, because the person lived in the community. This person then reported to the country director located in Kisumu, Kenya. Although the donor brought an external consultant to evaluate the Tank and Latrine NGO’s work, a staff person in Kenya where the project was headquartered was responsible for visiting the sites and keeping track of project progress in between the evaluations by the external consultant. With the Well NGO, each project manager conducted participatory M&E with the people in the community and submitted progress reports for the organizations M&E officer to compile. Overall, results suggested that collection of information used in M&E did not involve direct project participants.

Monitoring & Evaluation Training

The survey asked the NGOs how often the individual(s) collecting M&E information receive formal training to understand if there was continuing education for the individual(s) (Appendix C, Question 14). The International NGO selected “Training is not provided.” Given the budgetary and staffing situation at the International NGO, the lack of formal training was not surprising. Furthermore, one of the staff people I spoke with said no one at the organization had M&E training (Valerie Were, personal communication with A.W., 28 December 2012). The Tank and Latrine NGO selected "One to two years." The NGO was most likely referring to training provided to the person responsible for monitoring project progress rather than evaluation since the external consultant conducted the evaluation. The Well NGO selected "Less than once a year." The Well NGO had the luxury of more frequent training for M&E data collectors compared to the other two organizations given the dedicated M&E officer on staff.

Community Participation in Project Monitoring and Evaluation

Understanding the extent to which M&E was participatory was useful because other studies found that participation from local communities is important to improving project outcomes (Bamberger, 1988; Cornwall & Jewkes, 1995). First, there was a survey question about the primary method for collecting M&E information to get a general sense of how the information was collected. Respondents chose one option from the list provided (Appendix C, Question 15). The International NGO, the Tank and Latrine NGO and the Well NGO chose group interviews, panel studies, and formal field surveys, respectively. These responses were corroborated during staff interviews and relate to the average number of project participants. The International NGO's participant group was smaller, 100 to 500 people, compared to the other two organizations as indicated by the organizations' answer to the number of direct participants from the community. As such, the organization would have the option of using a method better suited for smaller audiences. The other two NGOs' projects involved larger numbers of participants compared to the International NGO's project, therefore using a panel study or formal field survey made more sense. Panel studies are longitudinal studies that monitor cross-sections of a sample population over time (Bynner, 2006). Such studies, along with formal field surveys work best where sample sizes are large enough to warrant random sampling methods.

Community Engagement Practices

Community engagement practices were also explored on the survey which asked if the NGOs used specific participatory M&E methods (Appendix C, Question 16; see Appendix B for more on participatory methods). There are established participatory methods, such as rapid rural appraisal, used in international development (Clark et al., 2004). Participatory Assessment, Monitoring, and Evaluation (PAME), Participatory Action Research (PAR), Rapid Rural Appraisal (RRA), and Social Action Research (SAR) were the choices available for selection while ‘DK’ referred to ‘Don’t know’. The International NGO was the only organization that indicated in an earlier question that they did not have an established M&E strategy. As such, the NGO did not indicate using a specific method and chose the “don’t know” response on the survey. The Tank and Latrine NGO and the Well NGO responded that they used PAME. This method’s selection was not surprising because ‘The Community’s Toolbox” that describes the method in detail was the result of a workshop on participatory M&E in 1988 in Kisumu, Kenya (Davis-Case, 1990). PAME, like many other participatory methods, flips the traditional top-down development approach to one where the local community benefiting from the project sets the agenda by identifying their own needs, setting their own objectives, and monitoring and evaluating progress (Davis-Case, 1990). PAME also places the information needs of the community above those of the project.

Information on which attributes NGOs collected about their direct project participants, such as age and gender, were other factors of interest (Appendix C, Question 17). Again, the organizations were encouraged to check all applicable answers and to add a response. The goal was to understand whether NGOs tracked gender explicitly and to learn what other information about participants the NGOs collected. Involvement among women is particularly important because women (and children) are still primarily responsible for making sure there is enough water in the household (Sobania, 2003). Anecdotal evidence also suggested that NGOs helping Kenyan communities improve water access like to work with women’s groups because in the NGO’s experiences, projects where women were in charge were more successful (Valerie Were, personal communication with P.O., J.M., and A.B.O., 11 October 2011; 11 April 2012; February 8 2013, respectively). Only one organization, the Well NGO, stated in its survey response that the organization tracked gender. Although the other organizations did not say they tracked gender, interviews and site visits suggest that women were at least involved in the International NGO's and Tank and Latrine NGO's projects. For example, thirteen (out the sixteen) people on the committee that ran the International NGO's project were from the community and five of them were women. The Tank and Latrine NGO's project had a twelve person committee at the site I visited and four of them were women. Involvement, however, does not necessarily translate into active participation in decision-making.

Collecting M&E information is useful but analyzing the information and using it to make decisions is another feat. The NGOs were asked to indicate who is primarily responsible for analyzing M&E information. Respondents chose from several options or added a response (Appendix C, Question 18). Results, shown in Table 1.2, indicated that participants do not typically analyze M&E information.

Table 1.2 Monitoring and evaluation data analyzers, users for decision-making, and PAME use among the case study NGOs

	Monitoring and Evaluation Information Analysis	**Monitoring and Evaluation Information User for Decision-making**	**Participatory Assessment Monitoring and Evaluation (PAME) Method User**
International NGO Project	NGO headquarters or regional staff	NGO headquarters or regional staff	No
Tank and Latrine NGO Project	NGO headquarters or regional staff	NGO headquarters or regional staff	Yes
Well NGO Project	Monitoring and Evaluation Coordinator	NGO headquarters or regional staff	Yes

The NGOs were asked during interviews who uses the information for making decisions about the project. Table 1.2 also shows that staff from the NGO's headquarters responsible for using any M&E information to make decisions about the project. The International NGO's response that headquarter staff collected and analyzed M&E

information was not surprising given the previous indication that the organization did not have established M&E guidelines so any project tracking would have been done by NGO staff. Again, since there were no M&E guidelines in use, it was also unsurprising that the organization did not indicate that it used PAME. The Tank and Latrine project NGO's responses were likely influenced by its role as the project coordinator among the five project countries. The Well NGO's response to who analyzes M&E information was not surprising because there was an M&E officer on staff. What was surprising about the Tank and Latrine and Well NGOs' answers was that they indicated their organizations used PAME but participants neither analyzed nor used M&E information for making decisions. The results raised the question of whether PAME was used in practice. Project participants in the PAME model are supposed to be integral to use and development of M&E information.

Post-Project Self-reliance among the NGO Projects

A common problem among NGO projects is the lack of project follow-up beyond immediate impacts (Bamberger, 2000). One way to ensure the project's results are sustainable is to track and gradually increase the level of responsibility people in the community have. The survey asked about post-project goals and whether self-reliance was one of the project goals (Appendix C, Questions 19). Self-reliance referred to whether the NGO's goal was that the community continues the project on their own once the official project period ended. All the NGOs responded that self-reliance was a project goal. If the NGO stated that self-reliance was a goal, the survey prompted the respondent to indicate which aspect(s) of self-reliance the NGO monitored over time (Appendix C, Questions 20). The NGOs could select as many options from four choices as applied to their situation and also had the option to add a response.

The International NGO tracked maintenance of the development activity and independent actions taken by the community. Staff interviews revealed that their goal was to hand the task of maintaining the tank and kiosks over to the community once the system was built (Valerie Were, personal communication with A.W. and R.O., 28

December 2012 and January 7, 2013, respectively). Tracking those two factors allowed the organization to assess progress toward handing the project over to the community.

The Tank and Latrine project NGO indicated that it only tracked maintenance. This choice related to the tanks and toilets that the organization's project built. The NGO assessed the condition of these structures during field visits. The organization also tracked independent actions taken by the local community and the level of community control over resources.

The Well NGO had already handed over operations to the local community at the time of the site visit for this research. A project participant interviewed at the site noted that the Well NGO staff visited every so often (Valerie Were, personal communication with F.A. February 18, 2013).

Influence of Customary Rules and Gender Norms

The NGOs were asked on the survey whether they encountered customary law as they worked and if they did, they were asked to describe how they incorporated those customs into their projects. (Appendix C, Questions 21 to 24). The Tank and Latrine and the Well NGOs reported that they encountered customs in their project areas. Although the International NGO did not explicitly state that there were customs in their project area through the survey, information gathered from interviews with staff suggested otherwise (Valerie Were, personal communication with A.W., 11 January 2013). Community meetings about the International NGO's project often included both men and women. When it came to making decisions about how an aspect of the project should proceed, the staff person described a situation where the women would defer to the men when the both men and women were present at the same meeting. However, if the women were asked about the same thing when they were alone, the women would respond with a different answer. This experience suggested that traditional gender relations still influence interactions among people in the community thereby affecting women's opportunity to provide input on the decisions that could affect their ability to fulfill their traditional role of providing water for the home.

According to interviews with the Tank and Latrine project NGO, adults and children did not share latrines so when the NGO was improving sanitation in the community, they built two latrines rather than just one per homestead. In addition, the kind of latrine they built was at first, not well received. The NGO trained people in the community how to install EcoSan toilets that separated solid from liquid waste products that were used as fertilizer and organic agricultural pesticides, respectively. Diluted urine can be used as an insecticide (Wightman, 1999). Processing the solid waste required mixing the waste with wood ash, something that was taboo according to local customs. Unfortunately, why this particular action is taboo was unexplained. Eventually, through an education and field visit campaign, the organization convinced people to use the latrines.

The Well NGO's experiences centered on gender disparity in projects and a staff person interviewed stated that 'there is a lot of male chauvinism' (Valerie Were, personal communication with J.A., 5 January 2013). The person said that the NGO ensures participation by women by assigning leadership positions and management tasks to both men and women in its projects.

An Additional Observation

An additional lesson from the NGOs' experiences was that whoever initiated the project was important to the project's progression. The International NGO project began when an 'outsider'[10] spent time as a volunteer for another NGO's project in the same community. The person came back to start the International NGO's project after her time with the other NGO ended. According to two International NGO staff members, interviewed on separate occasions, the person inadvertently created a level of dependency among people in the community when the project began by handing out money (Valerie Were, personal communication with A.W. and R.O., 28 December 2012 and January 7, 2013, respectively). This created an expectation that hampered the project because people

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[10] 'Outsider' refers to a person who comes into the community from time to time but is not considered a member for the community (Davis-Case, 1989).

in the community expected monetary compensation for participating in the project. In contrast, the other NGO projects began when community members approached the respective NGOs and asked them for help. An ‘insider’[11] initiated contact with the NGO rather than an ‘outsider.’ Furthermore, community involvement from an early stage is likely to improve the project’s design because of the opportunity to incorporate local knowledge at the beginning of the project rather than later when changes are harder to make once the project is underway (Bamberger, 1988).

DISCUSSION

This study began by asking three questions: How do NGOs monitor and evaluate their projects?; Which methods and approaches do NGOs use to engage the community in project M&E?; and How do customary laws and gender roles in the community influence NGO projects?. First, I found that M&E approaches varied and that budgets and funder preferences appeared particularly influential in NGO’s choices about their M&E activities. In the case of the International NGO, the organization did not have an M&E approach likely because their funding was more limited compared to the other organizations. The Tank and Latrine NGO’s M&E, in comparison, was influenced heavily by project donors who brought in an external evaluator. These results demonstrated how internal and external factors influence M&E. NGOs must balance their choices about which method to use with the resources they have at hand.

RealWorld Evaluation is a comprehensive guide for evaluators and provides seven steps that address four common constraints – budget, time, data and political influences (Bamberger et al., 2012c). The book addresses two scenarios; when an evaluator comes in at the beginning of a project but is limited in terms of the information the evaluator can collect and when an evaluator starts toward the end of the project. Another scholar noted that the project planning stage, the first step in RealWorld Evaluation, is particularly important to how evaluable a project is because planning sets

[11] ‘Insider’ refers to someone from the community who is privy to community information and holds community perspective (Davis-Case, 1989).

objectives and indicators, assesses risks and assumptions, and builds in monitoring systems that enable evaluation (Longhurst, 2013). Longhhurst (2013) provided some methodological improvements to evaluation that do not affect validity significantly, including purposive sampling, efficient use of focus groups and key informants, and quick ethnology as potential methodological improvements for evaluation with limited resources. He further suggested that purposive sampling could be subjective. This research attempted to limit potential subjectivity by soliciting suggestions from others on their opinions regarding the most active NGOs.

Second, the results also suggested that NGOs favored participatory projects where people from the community were actively involved. People in the communities in all three projects participated at some level. Initial apprehension with the EcoSan latrines built by the Tank and Latrine NGO also demonstrated how paying attention to the local culture is valuable and that community involvement in NGO projects enables the organizations to identify cultural preferences in the local community. Once the NGOs identify the cultural preferences in a community, the projects can move toward mitigating for those preferences. Mitigation decreases the chances of unintended negative impacts and increases positive experiences for the community receiving help and the NGO. Participatory M&E enables NGOs to simultaneously build in mitigation and learn about their project's impacts.

However, the degree to which M&E activities involved the local community appeared limited. In its ideal form, participatory M&E, in which activities involve project participants, merges stakeholder participation and M&E to involve all the legitimate stakeholders in a democratic conversation (Greene, 1997). Attention to stakeholder participation evolved in phases (Reed, 2008): awareness raising in the 1960s; ideas on incorporating local perspectives in 1970s; development of techniques that recognized local knowledge in the 1980s e.g. (Chambers, 1993); increasing use of participation as the norm in sustainable development in the 1990s; critiques of participation e.g. (Cooke & Kothari, 2001); and finally, consensus on best practices. Participatory M&E gained prevalence in international development in contrast to utilization-oriented evaluation, which is more popular in the United States (Estrella & Gaventa, 1998; Greene, 1997). Cousins and Whitmore further characterized participatory M&E into two types. “Transformative participatory evaluation” emphasizes social justice and empowerment of the marginalized (Cousins & Whitmore, 1998). In comparison, “practical participatory evaluation” is based on the premise that stakeholder participation enhances relevance, ownership and therefore use. The NGOs in this study favored stakeholder participation but did not appear to practice participatory M&E in its ideal form because stakeholders did not participate in analyzing data or making decisions about the project.

Finally, results suggested that customary laws and traditional gender roles are still important considerations for NGOs as they implement projects. While water is generally a common good according to African customary laws, an individual or a group’s control and rights to the water increase in proportion to the amount of labor or capital invested (Huggins, 2000). Anecdotal evidence regarding women’s behavior when they gathered by themselves versus when men were present in the International NGO’s project meetings offered a glimpse into how traditional gender roles affect decision-making. Customary laws and traditional gender roles create power differentials among people in a community by assigning more power to some compared to others. For example, as previously discussed, the Luo are a mainly patrilineal society therefore, men are typically the heads of household.

Participatory M&E operates under the assumption that the NGO’s project goals are mutually compatible with those of the participants (Parkinson, 2009). A study of participatory M&E within the National Agricultural Advisory Service (NAADs) in Uganda showed that power differentials together with different perspectives and interests between administrators and beneficiaries eventually undermined participatory M&E’s potential to empower participants in a rural development program (Parkinson, 2009).

Among the three case study organizations, the Well NGO appeared to have the best model for implementing water projects. The organization was fortunate to have the resources to employ a full-time monitoring and evaluation officer. However, the organization’s entire approach to project planning and implementation was participatory.

As such, the NGO handed the work over to the community once the official project cycle ended and left the community with the tools and skills to continue to run the project themselves.

GAPS IN NGO MONITORING AND EVALUATION AND FUTURE RESEARCH NEEDS

There are two gaps monitoring and evaluation (M&E) this research identified. The Well and the Tank and Latrine NGO's projects were fortunate to have the resources to conduct M&E. However, the International NGO's situation demonstrated that some organizations still lack organizational resources and expertise to conduct meaningful M&E. NGOs need to allocate resources for M&E. Doing so allows the organizations to have a better idea of their impact on people's lives through their projects.

Second, this research identified that, at least among a sampling of NGOs, organizations do not use participatory M&E methods. To correct this gap, NGO staff and project leaders need appropriate training. Training staff to use participatory methods is important because as this research demonstrated, customary rules and traditional gender roles can influence projects. In addition to training NGO staff, the local community needs appropriate training to improve their ability to engage in NGO projects in a participatory manner.

Regarding future research on M&E in NGO development projects, two areas were not explored by this research. This study did not explore donors and funder perspectives on M&E, community engagement, and customary law. For example, questions about a funding entity's information needs, who they answer to, and what internal mechanisms operate to track funding use remain avenues for further inquiry. These are particularly interesting questions where the funding entity is large, handles many projects, and donates significant amounts of money. Understanding the donor and funder perspectives might also help in understanding more about the decisions that the donors and funders make regarding M&E support.

Also, this research did not address the communication and coordination among the various actors involved in development projects. For example, future research could explore relationships between donors and the NGOs that receive their support. Future research could also explore donors and recipient local community relationships.

CONCLUSION

NGOs face tough choices when it comes to M&E. The situation becomes more complicated given NGOs' need to satisfy not only their own information needs but those of their funders and the community. NGO staff need to make sure they are clear with all stakeholders involved about expectations for measuring project progress and impacts. M&E efforts need to focus on engaging the local community, particularly at the beginning of a project, because doing so will reduce the potential for negative unintended consequences. Ultimately, this comes down to designing M&E to answer questions about who needs what kind of information, when do they need it, and why?

CHAPTER 2 – Decentralization in Kenya: The Role for Non-governmental Organizations in Water Resources User Association Formation

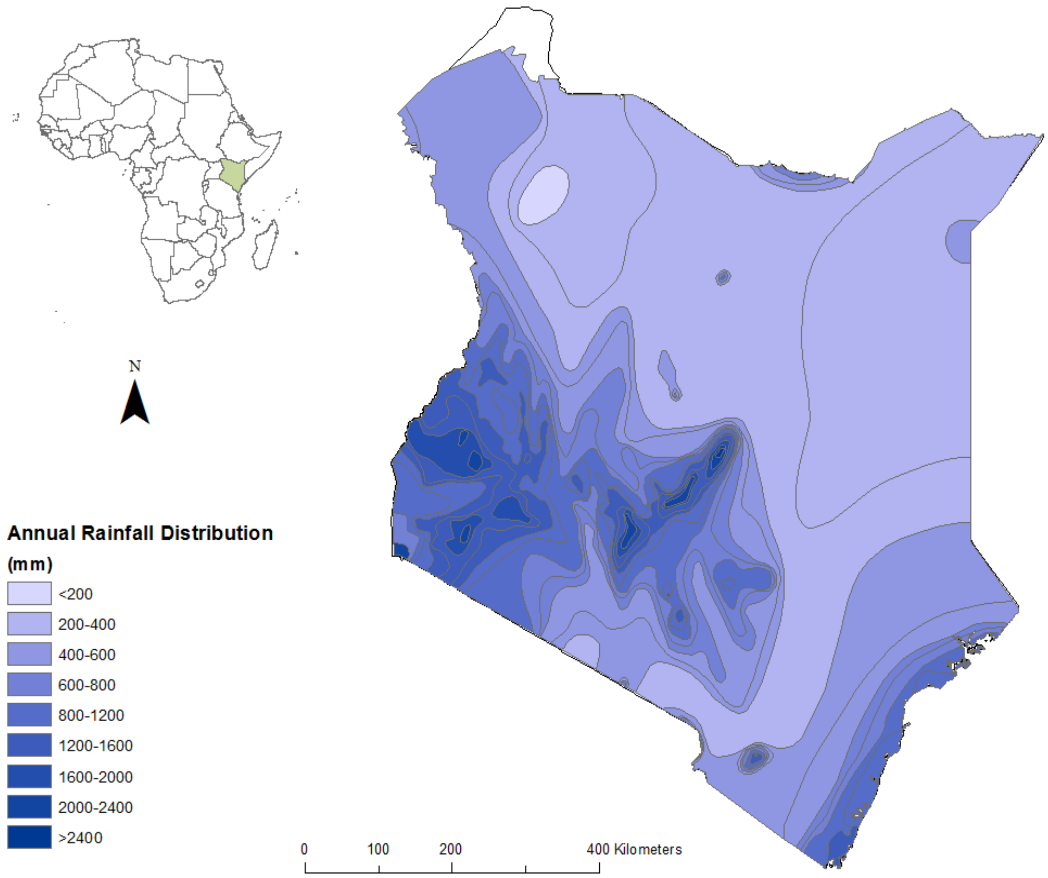
INTRODUCTION

There is no question that access to water is critical to life. In 2002, Kenya undertook sweeping reforms to water management and moved to a more decentralized model. After the February 2013 general elections, a decentralized system of administrative governance also took effect and water management became even more complicated. Despite all the transition in water law and administrative governance structures, Kenyans still need access to clean and safe water and NGOs can help address this need. After a brief discussion of water scarcity in Kenya, the chapter presents an overview of the changes to water law and administrative governance structure including the challenges each presents. It then provides examples of how NGOs can help smooth the transition into catchment-level water management proposed in evolving water law and under the new decentralized administrative governance structure, specifically by assisting in the formation of water resources user associations (WRUAs). WRUAs are an important structure for water management and service delivery at a grassroots level and NGOs can help in the process of getting citizens to form them. Examples of how NGO can help come from a study that examined monitoring and evaluation practices among NGOs in the Lake Victoria Basin (See Chapter 1 for more on the study).

Water Scarcity in Kenya

In general, Kenya is a dry country (Figure 2.1). About 80% of the country is classified as arid or semi-arid (Marshall, 2011). Arid regions receive less than 250 mm of rainfall per year while semi-arid regions receive between 100mm and 250 mm of rainfall per year (Parry, Canziani, Palutikof, van der Linden, & Hanson, 2007). The average annual rainfall is approximately 630 mm with drier regions, particularly in the north, receiving less than 200 mm of rainfall per year (Mwathe, 2005). Rainfall distribution is bimodal with long rains in March to June and short rains falling in October and November (Mwathe, 2005).

Figure 2.1 Annual rainfall distribution in Kenya (Were, 2013b)



The reliability of this rainfall schedule has decreased in recent years due to climate change. The most recent report from the Intergovernmental Panel on Climate Change (IPCC) indicated that temperatures in Africa are rising which in turn affects rainfall patterns (Parry et al., 2007). Droughts and floods have become common, particularly in the Horn of Africa, which includes Kenya (Kotir, 2011; Marshall, 2011). Kenya experiences moderate droughts and floods every three to four years and major drought approximately every ten years (Mogaka, Gichere, Davis, & Hirji, 2009). Fluctuations in rainfall have negative impacts on the country because of its dependence on agriculture. Agriculture accounts for 25 percent of Kenya's gross domestic product

(Mogaka et al., 2009). Many households rely on agriculture either directly or indirectly, and these weather-related events have left Kenyans struggling to grow enough food for themselves and their livestock.

Even in the absence of climate change, current population trends in much of Africa coupled with demand for water point toward challenging times ahead with respect to water access (Parry et al., 2007). Kenya's population grew at the rate of 2.6 percent between 2000 and 2010, increasing the number of people from 31.3 million to 40.5 million (by 2020, the population is expected to reach 52.5 million) (World Bank, 2012b). Of those people, about 43 percent are without access to clean water and there are sharp disparities in access between rural areas (30 percent) and urban areas (90 percent) (Marshall, 2011).

Mogoka et al. present an analysis of several factors that led to degradation of available water resources in Kenya and further exacerbation of water shortages (Mogaka et al., 2009). First, excessive withdrawal of surface water means that rivers dry up during low rainfall periods of the dry season, which in turn leads to conflict among water users. At the same time, groundwater extraction costs are rising due to overuse. Second, many of Kenya's rivers, the main source for water supplies, originate in forests. These forests are being cleared to make way for settlements and agriculture. Deforestation has resulted in increased soil erosion, which leads to other problems such as increased sedimentation, which goes into reservoirs and affects hydroelectric operations. Finally, household water use, industrial discharge, and agricultural fertilizers and pesticides are all contributing to high nutrient levels and toxic chemical input into water bodies thereby causing more problems with aquatic and human health and a reduction of safe water supplies.

HISTORY OF WATER MANAGEMENT IN KENYA

The Colonial Period until 2002

Poor water resources management practices are cited as another reason for water shortages in Kenya (Marshall, 2011). This is due in part to the Kenya's complicated water management history. Long before colonial settlers arrived in East Africa, local ethnic groups set up institutions to manage and control access to and use of water (Nilsson & Nyanchaga, 2009). These customary systems of water management generally operated on the principle of community interest above individual interests (Orindi & Huggins, 2005). For example, in Kiptegan, a spring protection project in the Nyando basin in Kenya, no one is denied water for basic water needs under strong local customs (Meinzen-Dick and Nkoya, 2007) In most African customary law, private water ownership is not recognized because water is considered community property (World Food Programme, 2001).

The first statutory water law was created in the period between 1895 and 1920 (Nilsson & Nyanchaga, 2009). European settlers had begun arriving in earnest in the late 1800s (Nyanchaga & Ombongi, 2007). The Hydraulic Branch (HB) of the Public Works Department (PWD) was responsible for administering Water Law of the Colony and conducting hydrographic surveys (Nyanchaga & Ombongi, 2007). Water Law of the Colony was an attempt to license a private water provider to develop a water supply system (Nilsson & Nyanchaga, 2009).

The HB opened its first office in the coastal town of Mombasa (Nyanchaga & Ombongi, 2007). Although other HB offices opened in Nairobi in 1902 and in Kisumu in 1903, Uganda Railway was the main water supplier for inland Kenyan towns as the company constructed a railway line between Mombasa and Kisumu (Nilsson & Nyanchaga, 2009; Nyanchaga & Ombongi, 2007). The colonial government constructed the water supply system in Mombasa but even there, the government did not assume responsibility for providing services directly (Nilsson & Nyanchaga, 2009).

The first pieces of legislation that assigned water rights in Kenya came with the Crown Lands Ordinance in 1902 which covered the issuance of water permits (Nyanchaga & Ombongi, 2007). This law failed to clearly define property rights and authority over water, therefore the Crown Lands Ordinance of 1915 repealed the 1902 version. The 1915 Ordinance included two sections on water. Section 75 denied a person buying, leasing, or occupying Crown Land automatic rights to water sources on the lands for anything other than domestic use while Section 145 prevented construction of water bodies on purchased, leased, or occupied Crown Land (Nyanchaga & Ombongi, 2007).

Initial attempts to draft a comprehensive water law in 1916 failed and it took until 1919 to enact the Crown Lands Water Permit Rules (Nilsson & Nyanchaga, 2009; Nyanchaga & Ombongi, 2007). This Permit Rules gave the Director of the Public Works Department the power to allow or refuse a permit to abstract water from a spring, river, lake, or stream (Nyanchaga & Ombongi, 2007). These early laws created ambiguity and uncertainty over water rights and an increase in the number of disputes (Nilsson & Nyanchaga, 2009).

Between 1920 and 1945, the colonial government worked to enact water legislation that gave the state greater control and ownership of water resources because of the problems with ambiguity and water rights created by previous legislation (Nilsson & Nyanchaga, 2009). An early version of the developing water law drew the ire of early settlers who objected to abandoning English common law (Nilsson & Nyanchaga, 2009). The next version was also deemed unacceptable because it did not sufficiently protect the rights of Africans living on land administered by the Native Lands Trust Board, the authority in charge of protecting the 'natives' rights (Nilsson & Nyanchaga, 2009). The Water Ordinance of 1929 finally came into effect on July 1, 1935 (Nilsson & Nyanchaga, 2009). The law was supposed to address African's water rights but ultimately, control remained with the state because of the designation of the Native Lands Trust Board as the landowner that would represent Africans because of the Board's its role as protector of native rights (Nilsson & Nyanchaga, 2009).

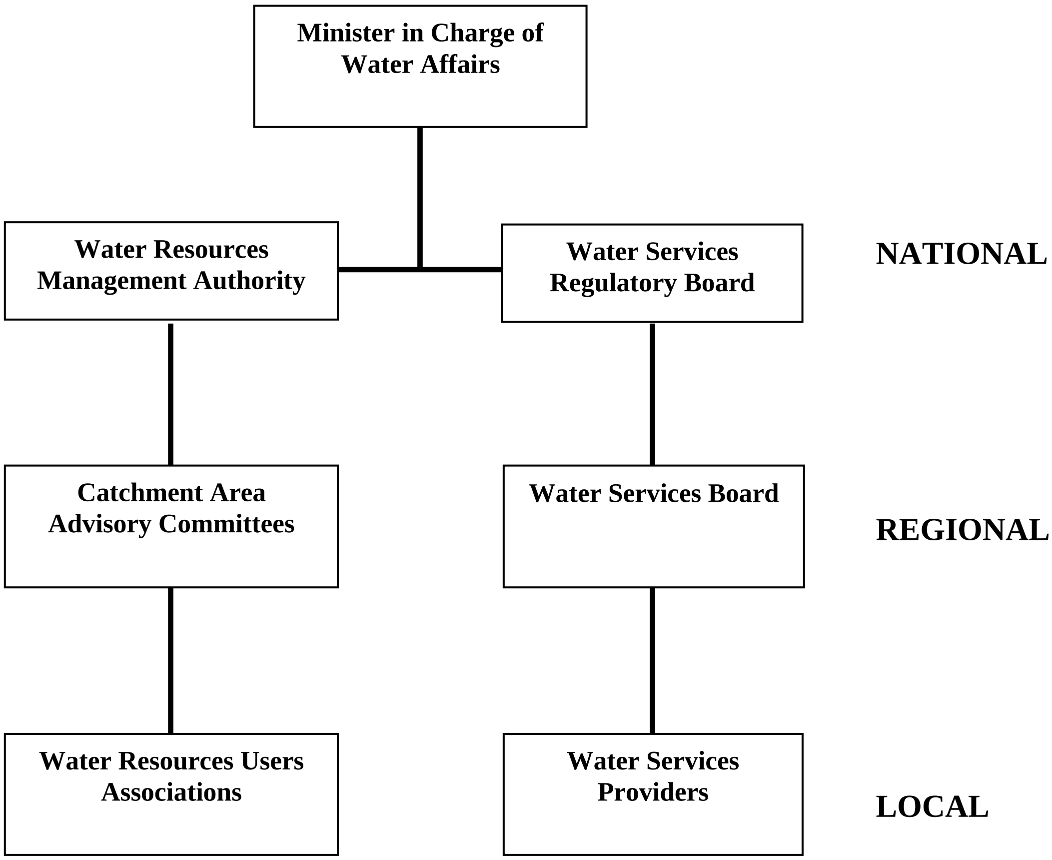
As described by Nilsson & Nyanchaga (2008), after the Second World War, the colonial government launched the Development and Reconstruction Authority (DARA) to invest in agricultural expansion as a way to boost economic growth. DARA sparked rapid development in urban water supplies. Agricultural expansion also called for better control over the colony's water resources and a revised Water Ordinance was enacted in 1951. This law added groundwater as state property and created two institutions: the Water Resources Authority to advise the minister in charge of water on policy and development and the Water Apportionment Board to issue water permits (Nilsson & Nyanchaga, 2009). In addition to these two institutions, the 1951 ordinance created a Regional Water Board for each of the major river basins to advise the Authority and Board (Nilsson & Nyanchaga, 2009).

The newly independent government took over statutory water responsibilities from the colonial government when Kenya gained independence in 1963. From 1970, the government expanded its development budget to achieve the goal of "Water for all by 2000" and established a fully-fledged ministry for water, the Ministry of Water Development in 1974 (World Health Organization, 1975, as cited in (Nilsson & Nyanchaga, 2009). Unfortunately, the goal was never met because in the 1970s and 1980s, services did not expand as planned due to actions such as the President's abolition of tariff payments based on meters in rural areas (Kenya, 1984, as cited in Nilsson & Nyanchaga 2009).

The Water Act of 2002

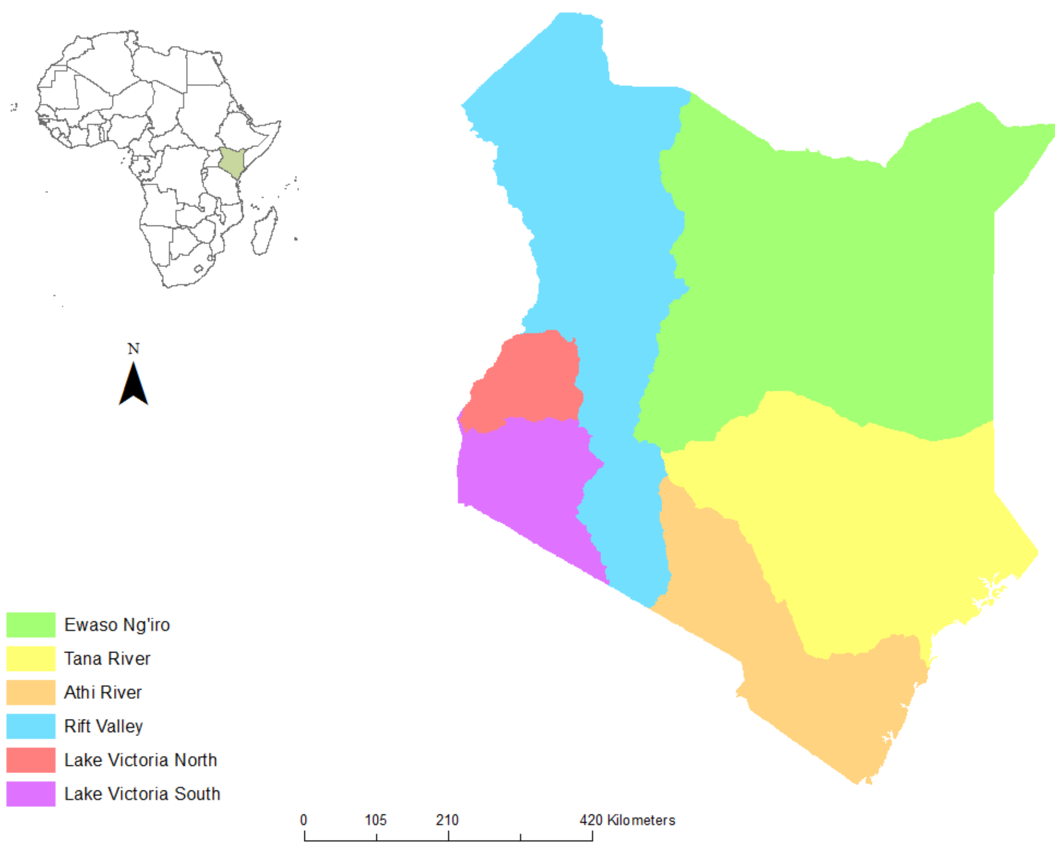
The Water Act of 2002 brought the most recent, comprehensive reform to water management in the country. The major objectives of the new law were to reduce the central government's role to policy-making only and to establish a framework that encouraged stakeholder participation (K'akumu, 2008). Figure 2.2 shows the new institutional structure for water management under the Water Act of 2002. Interestingly, this legislation appeared to revert water management to a structure similar to the Water Ordinance of 1951.

Figure 2.2 Institutional structure for water management under the 2002 Water Act (Mumma, 2005)



The 2002 Water Act created two, autonomous, public agencies. This action separated policy-making from day-to-day administration and decentralized functions to two new public agencies. The first public agency, the Water Resources Management Authority (WRMA), was responsible for developing water policy. It also regulated water resources management (NCLR, 2002a). WRMA designated six major catchments across Kenya (Athi, Ewaso Ng'iro, Lake Victoria North, Lake Victoria South, Rift Valley, and Tana) as shown in Figure 2.3 consistent with the national water resources management strategy (Water Resources Management Authority, 2013b). Each catchment had a regional WRMA office in or near the catchment. WRMA, in consultation with the Minister of Water and Irrigation, appointed people to individual Catchment Advisory Committees (CAC), which included a diverse group of stakeholders such as representatives from Ministries, farmers or pastoralists, and "persons who have demonstrated competence in matters relating to the management of water resources" (NCLR, 2002a). There were up to fifteen people on a CAC and its function was to advise the regional WRMA office on catchment matters such as grant awards (Mumma, 2005; NCLR, 2002a).

Figure 2.3 Major catchments for water management in Kenya (Were, 2013c)



WRMA was also responsible for, among other things, allocating water resources through a permit system to water resources user associations (Mumma, 2005). Water resources user associations (WRUAs) were associations of water users, riparian landowners, and other stakeholders whose purpose is to cooperatively share, manage and conserve a common water resource (Water Resources Management Authority, 2013a). WRUAs engaged in activities such as resolving conflicts and planning (Water Resources Management Authority, 2013a). The groups were intended to be the grassroots level for water management.

The Water Services Regulatory Board (WSREB) is the second public agency the 2002 Water Act created. WSREB regulated service delivery and sewerage services (NCLR, 2002b). It set rules and enforced standards that guide the water sector; key among its functions was to oversee licensing to the provision of licenses to Water Services Boards (Water Services Regulatory Board, 2013). There were eight WSBs (Rift Valley, Athi, Tana, Tanathi, Coastal, Lake Victoria South, Lake Victoria North, and Northern), each one responsible for contracting a Water Services Provider (WSP) to serve as the WSB's agent to provide water and sanitation services (NCLR, 2002b). Water Services Boards were prohibited from providing direct service unless there was no WSP able and willing to do so (Mumma, 2005). With respect to grassroots participation in water services delivery, community self-help groups qualified as WSPs, which is particularly important in rural areas where private WSPs are likely to be few. However, these community-managed systems needed to obtain a license unlike before the 2002 Act when they operated without a license.

Challenges arising from the 2002 Water Act

Empirical evidence documenting the 2002 Water Act's implementation is emerging. One such study examined how effective ten WRUAs have been in the Upper Ewaso Ng'iro River basin (Rutten & Aarts, 2013). In addition to the need for financial resources, the study found that many WRUAs lacked professionalism in both water management and conflict management. Another study on water access among the urban poor in Homa Bay, western Kenya found that water services improved but also found that these positive impacts were yet to benefit low-income settlements (Owuor & Foeken, 2012). These studies point to several of the critiques of the 2002 Water Act.

Water as a Commodity

International water policy in the 1990s advocated for privatization and market mechanisms to replace public institutions in providing water and sanitation services (UN-HABITAT, 2003). Commercialization is one form of privatization and it involves establishing and registering companies to provide water and sanitation services (Moyo & Kinuthia-Njenga, 1998). Kenya began experimenting the commercialization in urban areas 1995 when officers from the Ministry of Local Government, Ministry of Land Reclamation, Regional and Water Development, Nairobi City Council, and senior officers from several other municipalities met to review water and sanitation around the country (K'akumu & Appida, 2006). The workshop resulted in the decision to test commercialization in three towns: Nyeri, Eldoret, and Nakuru. Nyeri Water and Sewerage Company incorporated as a private company in in 1997 while Eldoret Water and Sanitation Company and Nakuru Quality Water and Sanitation Service Company Limited were incorporated in 2000 (K'akumu & Appida, 2006). Commercialization was unsuccessful in these cities because of problems that lingered from the previous centralized management model; interference from local government, interference from the central government, and no staff turnover (K'akumu & Appida, 2006).

Although the commercialization experiment failed, it led to changes in policy when policy makers reviewed the lessons learnt from the experiment and decided that market prices should apply to water and that legislation should address commercial tariffs i.e. economic costs of water supply (K'akumu & Appida, 2006). The 2002 Water Act was the legislation that provided the legal framework for regarding water as an economic good. Furthermore, the new law expanded commercialization to the whole country.

Water’s commercialization into a buyable and sellable good was among the first criticisms of the 2002 Water Act. Commercialization and valuing water as a commodity and providing water for a fee might limit women’s usage since women generally have less access to cash compared to men (Orindi & Huggins, 2005). Access to water is important for women because women are responsible traditionally for ensuring there is enough water in the household. There were also concerns that water service providers would pursue profits over social goals and that the poor were at a disadvantage because they may be unable to generate enough income to buy water (Nyangena, 2010; Van de Loo, 2011).

Technical and Financial Competency Requirements for Water Resources User Associations

In addition to the issue of access to cash, poor, rural people, and women, were further disadvantaged by the law because of the technical and financial competency requirements. A license was required for water service providers who served more than twenty homes, to supply more than twenty five thousand liters for domestic use, or more than one hundred thousand liters for any purpose (Mumma, 2005). These requirements favored those with access to technical and financial resources over community self-help initiatives.

Legal Management Structures

The 2002 Water Act did not explicitly provide for customary laws regarding rights of access to water and therefore continued the tradition of failing to recognize the pluralistic legal framework in Kenya (Mumma, 2005). Customary laws are rules and norms regarding codes of conduct and are binding forms of agreement among members of an ethnic group (Burchi, 2005; Caponera, 1979). These laws intersect and interact with numerous governmental laws including those more recently codified and adopted by post-colonial developing nations. Furthermore, the 2002 Water Act remained state centric because ownership of Kenya’s water resources and the right to use any water resources was vested in the Minister who maintained control over the two public agencies tasked with water policy development and service delivery (K'akumu, 2008).

Effects of Land Ownership on Water Access and Permits

The three land classification systems—public, community, and private—have different effects on access to water because they affect water permit acquisition. Public land is land owned by the government and includes land transferred to the state by sale, reversion, or surrender, and land for which no heir can be identified (Committee of

Experts, 2012). The Government of Kenya, as the owner of public land, can obtain a water resources permit but the 2002 Water Act exempts the state from the permit requirement (Mumma, 2005). It appears that the very entity responsible for creating the law is exempt from following it.

Community land is registered to a group of people of the same ethnicity, culture, or similar community of interest (Committee of Experts, 2012). If the group is unregistered, the county government holds the land in trust for the community (Committee of Experts, 2012). Where people in the group are of the same ethnicity or culture, customary laws govern interactions among members of the group; customary laws are still an important part of the Kenyan culture, particularly in rural areas (Meinzen-Dick & Nkonya, 2007). For example, even if land is registered to an individual, people in rural communities assume that the individual holds it in the trust of the family or community members (Mumma, 2005). Water permits on community land could therefore limit rights of people in the community because only the person whose name is on the title deed for the land is entitled to making decisions about how water development occurs on the land. Women are at the greatest risk of losing rights of access since they do not typically inherit land (Orindi & Huggins, 2005). The 2002 Water Act did not address how water permits work on community land held in trust for the community by a county government because county governments did not exist at the time of the law's creation.

Private land is registered to individuals (Committee of Experts, 2012). Land in Kenya is increasingly becoming privatized thereby weakening customary tenure under which land was held communally or in a trust by the government. The 2002 Water Act favored those who can obtain titles to land because water rights are privatized to property owners (Mumma, 2005). In addition, self-help groups could not own land under the current land laws, therefore, even if a group registers as a WRUA, someone in the group must own property, be willing to allow construction of any infrastructure to provide water, and give people access to their property. Land reform is currently on the government's agenda but is difficult to resolve. A full discussion on land tenure is beyond the scope of this dissertation but there are definitely conflicts over land (O'Brien, 2011; Wakhungu, Huggins, & Nyukuri, 2008).

In summary, the 2002 Water Act appeared to make it more difficult for some people to gain access to water. Women, people in rural areas, and the poor were particularly at a disadvantage because the law favored those with access to cash, education, and land. Furthermore, customary rules, which are especially important in rural areas, were left out of the legislation.

ARRIVAL OF A DECENTRALIZED ADMINISTRATIVE GOVERNMENT STRUCTURE

Revamping water management was an ambitious enough goal in 2002 that met further challenges in 2010 just as this dissertation research began. A new Kenyan constitution that influenced how water is managed came into effect. Calls for a new constitution actually began in 1995 when a group of lawyers published a proposal in the Nairobi Law Monthly (Unknown, 1995). The then President Daniel arap Moi's resistance to change meant that the Constitution of Kenya Review Commission did not form until April 2001 and by the time the Commission released its first draft, there was only three months left before the next election (Barkan, 2004). President Mwai Kibaki took over the presidency in 2002 and was still in power in 2005 when Kenyans took to the polls in a first-ever referendum on a proposed constitution. This referendum failed to pass.

The constitutional reform process almost stalled because of the next presidential election in December 2007. The Electoral Commission of Kenya controversially declared the incumbent president, Mwai Kibaki, the winner of the contested December 2007 election and violence quickly ensued (Kagwanja, 2009; Klopp, 2007). By the time fighting subsided in April 2008, between 1000 and 2000 people were dead and another 600,000 people displaced (Kagwanja, 2009). Violence subsided because President Kibaki and his main challenger, Raila Odinga, reached a power-sharing arrangement thanks to the efforts of a mediation team that included the former United Nations Secretary-General Kofi Annan. Part of the agreement was a revival of constitutional reform.

The extent to which power would be decentralized to lower levels of government, and a reduction in presidential authority, remained at the center of constitutional reform conversations (Barkan, 2004; Whitaker, Whitaker, & Giersch, 2009). There was a perception that centralized government contributed to marginalization, neglect, and discrimination among citizens based on their ethnicity (Akech, 2010). Kenya is home to ten major and more than thirty minor ethnic groups whose needs vary based on factors such as rural versus urban residence and coastal versus inland location (World Bank, 2012a). Eventually, proponents of the decentralized governance system won and the constitutional referendum proposed in 2010 passed.[12] The new administrative governance structure divided the country into 47 counties each with a governor and county assembly. Each county was also allocated senators to represent the county in a national assembly. After the February elections in 2013, county governments began their work including responsibilities related to water. County governments gained responsibility for county public works and services including stormwater management in built-up areas as well as water and sanitation services.

Implications of Decentralized Government on Water Management

The 2002 Water Act divided Kenya based on hydrologic features, catchments, while the decentralized government system divided the country into counties based on population. Much overlap occurs between county and catchment boundaries as shown in Figure 2.4. Lake Victoria South and Tana catchments each have the greatest number of counties at 13 counties in the each. The overlap in management structures has implications on how water management proceeds. For example, how will each county's government appropriate money for catchment activities and coordinate joint management of catchments? Which county gets the revenue from the permitting of water services providers? How will membership on the catchment advisory committee be determined where the catchment crosses county lines?

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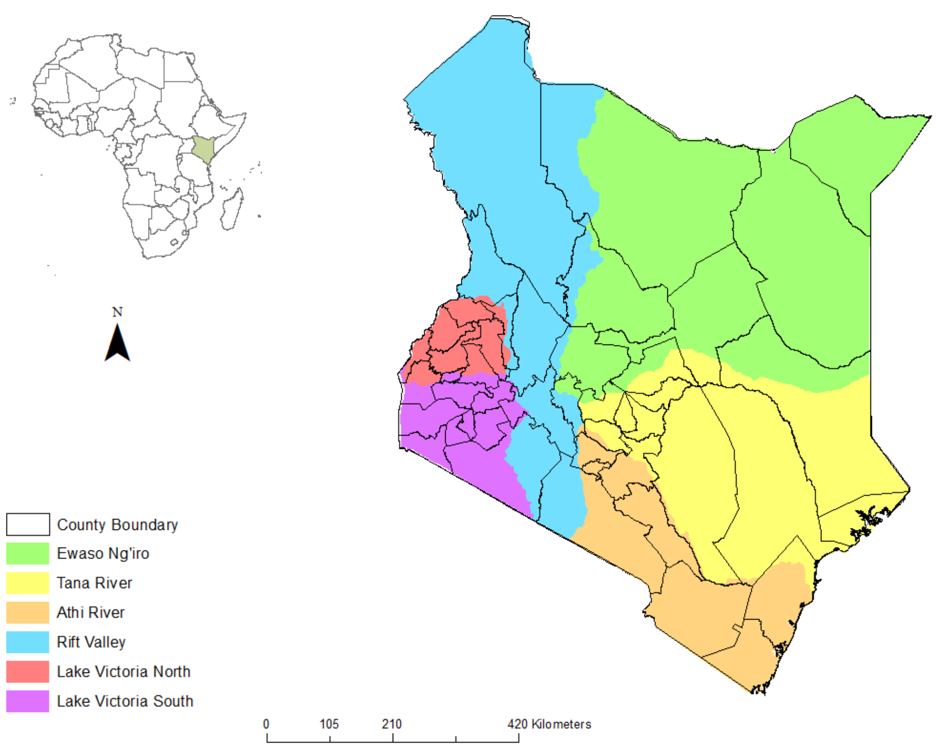
[12] The 2010 Constitution also granted every person the right to "to clean and safe water in adequate quantities." (Government of Kenya, 2010)

Work is already underway to align catchment-level and county-level administrative structure. Kenya's 2014 Water Bill proposes water management by catchment (Commission for the Implementation of the Constitution, 2014). Under the proposed Bill, each catchment will have a water resources management strategy (Commission for the Implementation of the Constitution, 2014). The counties whose areas of jurisdiction lie within the catchment will participate in developing the water resources management strategy. Participation by all the counties addresses potential trans-boundary issues associated with the catchment-level management strategy. The 2014 Water Bill also maintains WRUAs as community-based associations for collaborative water management and conflict resolution at a grassroots level. The challenges discussed previously related to the 2002 Water Act remain in the 2014 Water Bill, because the newer legislation maintains many of the elements in the previous edition such as water permit requirement.

Figure 2.4 County versus catchment boundaries in Kenya (Were, 2013d)



NON-GOVERNMENTAL ORGANIZATIONS AND THE FORMATION OF WATER RESOURCES USER ASSOCIATIONS IN RURAL KENYA

Despite the changes to Kenya's water law and the country's administrative governance structures, Kenyans still need access to clean and safe water. Barring major opposition, water management at the catchment level will proceed with passage of the 2014 Water Bill. Therefore, Water Resources Users Associations (WRUAs) will remain an important structure for water management and service delivery at the grassroots level in rural communities. Unfortunately, WRUA formation has been slow and the associations lack the capacity to develop management plans (Kinyua, 2011). Furthermore, WRUAs also lack adequate support from the Water Resources Management Agency (WRMA), the catchment-level institution that is supposed to support WRUA formation (Kinyua, 2011).

The remainder of this chapter focuses on how NGOs can help speed up WRUA formation in rural areas by examining the following question: What can we learn about WRUA formation from NGOs that are already implementing water projects? The insights are based on observations made during a field research project that studied monitoring and evaluation among NGOs that implement water and sanitation projects in western Kenya (See Chapter 1 in this dissertation for more about the field research project). Emphasis is on rural areas because as previously discussed, rural areas are at a particular disadvantage under new water laws. A brief review of literature on the role NGOs play in rural water project support precedes a discussion of the steps the Water Resources Management Agency expects WRUAs to take to implement a water project. Using the experiences of three case study NGOs, the discussion turns to how the NGOs' projects demonstrate the organizations' capacity to help accelerate WRUA formation.

How NGOs Support Rural Water Projects

Community involvement in international water development projects progressed from a community-maintenance model to a community-managed model. Under the community-maintenance development model, involvement in NGO development projects by people from the local community used to be limited to maintaining the project once the official project cycle ended and the NGO left. Many rural water projects functioned poorly under this community-maintenance development model (Churchill et al., 1987; Therkildsen, 1988). In western Kenya for example, nearly 50 percent of borehole wells dug in the 1980s, and subsequently maintained using a community-based maintenance model, had fallen into disrepair by 2000 (Miguel & Gugerty, 2005). The Kenyan Ministry of Water and Irrigation conducted a survey recently on water quality and functionality of water systems and found that only 58 percent of rural water sources were functional after the NGOs that started the projects left (Ministry of Water and Irrigation, 2009; World Bank, 2012c). The projects were unsuccessful because of issues such as lack of affordability or acceptability in the communities, a perceived lack of ownership among the people, and limited community education on how to maintain the project (Carter, Carter, Tyrrel, & Howsam, 1999).

A shift towards a community-managed development model followed the community-maintenance development model. The basic principles for the newer model were that the community should play a major role in development of the system, own the system, and have overall operation and management responsibilities (Harvey & Reed, 2007). Although it was better than its predecessor was, the community-managed model was also imperfect. A survey of several hundred rural communities found that the lack of a supporting institution to regulate accountability and transparency one to three years after commissioning of an improved water supply was among the six most commonly cited problems with projects' long-term sustainability (Harvey & Reed, 2007). The study recommended institutional support (encouragement and motivation, participatory planning, capacity building, and monitoring and evaluation) as a solution. Ideally, a local government institution would provide support but in the absence of an appropriate government institution, an NGO can fulfill the role (Harvey & Reed, 2007).

Other researchers also note the role that NGOs could play in providing support to rural water management. In Uganda, water committee members and caretakers lost interest once the project initiated by an NGO was up and running (Bagamuhunda & Kimanzi, 1998). Elsewhere, research teams of six water supply NGOs collaborated and used participatory action research in in Africa, Asia, and South America to improve community management capacity (Lammerink, 1998). By the end of the project, the communities were becoming more involved in decision-making and in the process the NGOs improved their own capacities and effectiveness (Lammerink, 1998). This study also suggested that NGOs shift their roles from being providers to being facilitators for communities to divert resources used for supporting inefficient services toward more sustainable benefits. Research on rural water supply systems in Bolivia, Peru, and Ghana found that NGOs (and church organizations) in all three countries were present pervasively in post-construction support activities (Whittington et al., 2009). The post-construction activities included training water system operators and caretakers and setting up billing mechanisms. Continual support from local government or NGOs is recommended to improve the long-term function to the projects (Carter et al., 1999).

Steps Water Resources User Associations Take to Implement Projects

Water Resources User Associations (WRUAs) in Kenya are based on the community-management model and local community involvement commences with the first step. Forming the associations takes care of water resources management and service delivery simultaneously because a WRUA can apply to become a water services provider. Table 2.1 shows how Water Resources Management Agency (WRMA), the agency responsible for guiding water policy development, expects WRUAs to develop, become water service providers, and implement a water project (Wanyumu, 2010). The process begins by gathering people in the community and introducing them to the purpose and functions of a WRUA. The community must then hold elections to select leaders who will guide the WRUA. After developing a constitution and registering the association, the WRUA develops a management plan for their part of the catchment area with help from WRMA. WRMA also helps the WRUA seek funding to implement the management plan. WRMA also supervises the WRUA's implementation of the plan.

Table 2.1 Steps in Water Resources User Association formation and project implementation (modified from Wanyumu, 2010)

1.	Identify stakeholders within the common water resource including civic, religious, and opinion leaders as well as Institutions within the area. Organize, plan and mobilize a public baraza[13] with the assistance from Provincial[14] Administration to introduce the functions of the Water Resources User Association (WRUA)
2.	Elect the WRUA's governance committee with the guidance of social officer in conjunction with Water Resources Management Agency (WRMA)
3.	Hold regular meetings to develop a WRUA constitution with assistance from WRMA.
4.	Register the WRUA with District Gender & Social Development Officer[15] and with WRMA
5.	Develop a sub-catchment management plan with capacity-building assistance from WRMA
6.	Write and sign Memorandum Of Understanding between the WRUA and WRMA regarding support from WRMA for the sub-catchment management plan implementation
7.	Write a proposal with assistance from WRMA to the Water Services Trust Fund to fund the sub-catchment management plan's implementation
8.	Receive funding from the Water Services Trust passed through WRMA
9.	Implement the sub-catchment management plan with supervision from WRMA

[13] A baraza is a public meeting where members of the community gather to discuss issues that affect them.

[14] Provincial administrations do not exist since government functions decentralized. A county administration would now serve in the role.

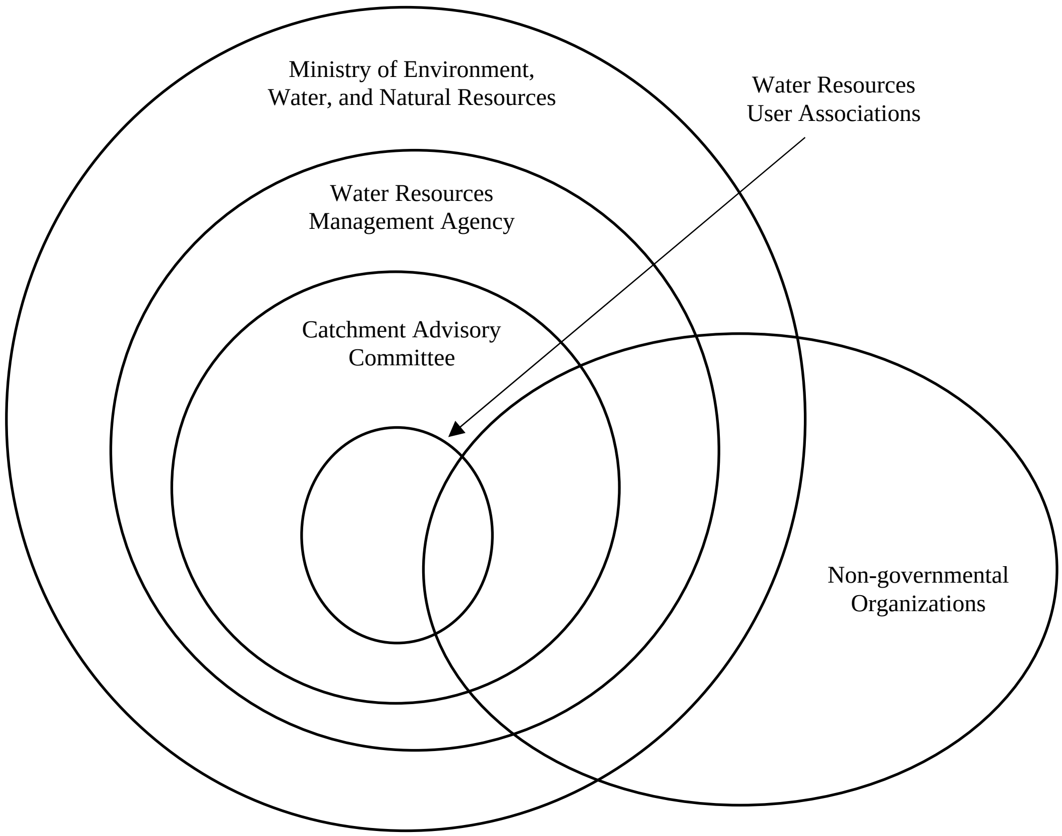
[15] District also refers to an administrative structure that is no longer operating.

Accelerating Water Resources User Association Formation through NGO projects

Much of the burden to provide institutional support for WRUAs falls unnecessarily on WRMA. NGOs can also provide support given their ability to bring people together and the skills that NGO staff can pass on to people in the community through education and training. By the time adoption of WRUAs as a water management structure occurred, the case study NGOs from Chapter 1, the International NGO, the Tank and Latrine NGO, and the Well NGO, were at different stages in their projects. The International NGO's project was three years in, having begun in 1999. The Tank and Latrine NGO's project was three years from its start while the Well NGO was one year into the project. The Tank and Latrine NGO and the Well NGO therefore had more of an opportunity to build WRUAs into their projects from the beginning.

Regardless of project start date, the NGOs went through similar steps to those recommended for projects implemented by WRUAs. NGOs could therefore support community-managed water management by carrying some of the steps designated for WRMA to support. Figure 2.5 shows an iteration of how NGOs fit into Kenya's water management structure. NGOs would interact with all levels of the water management policy structure because WRUAs occupy the most local level of policy development in a nested structure responsible for water policy development. NGOs are not fully nested in the water policy development structure because an organization might be involved in other areas such as education or public health.

Figure 2.5. Interaction between NGOs and Kenya's water management policy structure



Similar to the first step in WRUA formation that involves convening stakeholders, all three case study NGOs in Chapter 1 convened stakeholder meetings as part of their initial project activities. Attendance at the meeting included people from the communities the projects served. In interviews with staff from the Well NGO for example, the staff stated that they convened leaders in the community at the beginning of the project. All three projects therefore demonstrated that they could complete the first step necessary in forming a WRUA. The stakeholder meetings could expand to introduce the functions of a WRUA to satisfy the second step in the process above.

A steering committee composed of people from the local community was an integral part of all three case study projects. The committees met regularly to discuss the project’s progress. Elections at the stakeholder meeting for an NGO project could determine the composition of a WRUA committee and the committee meetings could expand to include conversations about constitution for the WRUA. WRMA’s burden to facilitate this step is lifted when discussions regarding WRUA constitutions occurs within the context of the NGO project. The International NGO’s project began with a general steering committee but once WRUAs became official, the project formalized the steering committee into a WRUA through an election process. The Tank and Latrine project’s steering committee was not ideal for forming a WRUA because rather than sharing a common resource, the project built tanks and latrines in individual homesteads. The Well NGO helped the community form a fully-functional WRUA at its project site in western Kenya by the time I visited.

Many of the remaining steps for WRUA project implementation require reading and writing skills that rural communities lack. Rural literacy rates according to the most current survey are at 50 percent compared to 80 percent in urban areas (Kenya National Bureau of Statistics, 2007). Literacy rates in the Lake Victoria Basin where the Chapter 1 study occurred were low but above the national rate at 66 percent (Kenya National Bureau of Statistics, 2007). All the project staff at the case study NGOs could read and write. These skills are essential for filling in paperwork related activities such as WRUA registration. NGOs can assist WRUAs with paperwork which would help accelerate WRUA formation and project implementation.

Capacity building is an important step because ideally the WRUA is supposed to have primary responsibility for project operation and management. The International NGO was still in the process of developing capacity; the community had not yet assumed full responsibility for all aspects of the project. The International NGO hired a consultant to develop and provide training materials to build capacity. Topics in the training materials I reviewed included information on the roles and responsibilities of the WRUA officials, operation and maintenance of the project, financial management skills, and legal requirements. With the Tank and Latrine NGO’s project, the NGO staff provided training on how to build latrines and maintain the water tanks the project helped construct in each homestead. The Well NGO staff trained members of their already-functional WRUA themselves. The project's staff stated in interviews that the topics in their training included leadership, management, conflict resolution, hygiene promotion, operation and maintenance. The training activities and topics demonstrate how NGOs can tackle the sub-catchment plan development task that WRMA is supposed to support.

All the case study NGOs also had experience writing grants to fund their projects. For example, the Swedish International Development Cooperation Agency was among the institutions that funded the Tank and Latrine project. The Well NGO received some of its funding from a Canadian charity organization. Grant-writing experience is useful to WRUAs because of the expectation that the associations write grants to fund their project in the ninth step. The Well NGO used a slightly different approach, one that is demand-driven, to engage the community in the grant-writing process compared to the other projects. According to the Well NGO staff, the organization encouraged the community to develop a proposal and apply to the NGO for money to fund the community's project. The NGO then used that proposal to look for potential project donors. The International and Tank and Latrine NGO projects solicited input but did not demand as much from the community; project staff were responsible for more of the work in presenting the project to potential donors.

WRUAs can apply to the Water Services Trust Fund, a government corporation, to provide funding for economically challenged areas with poor access to water (Water Services Trust Fund, 2014). Again, literacy skills among the case study projects is useful. WRUAs are not, however, limited to the Trust Fund for money and groups can apply to other funders. An understanding of how to write grants is necessary regardless of whether a WRUA applies for funding from the Water Trust Fund or another source.

The Well NGO was an example of how NGO support could extend beyond project implementation. I learned from my conversation with a water kiosk operator that the project staff comes back periodically to check on the project. The person also said if there is a problem with equipment or a dispute, the steering committee that oversees the project can contact the Well NGO for help with solving the issue. He gave the example of a bid to vote out members of the steering committee because of accusations that members used money for the project inappropriately. Well NGO staff facilitated the dispute's resolution during an annual general meeting of members and there were new elections.

With respect to the types and setup of the projects themselves, WRUAs can learn from the International and Well NGO's project designs with a central storage structure and piped distribution worked well because people lived close to the access point. The Tank and Latrine NGO project was an example of an alternative strategy for providing access to water where homes are as physically distant from each other as is common in rural areas. The homestead I visited benefited greatly from having water right next to the home. In addition to saving the time and energy it takes to fetch water from elsewhere, the tanks also help alleviate water stress during the dry season. Rainwater collection from roofs would require initial investment in upgrading homes that have thatched roofs but the benefits outweigh the costs of this additional investment. Furthermore, developing solutions at the household level bypasses some of the obstacles that sometimes plague community-managed projects such as a lack of trust, cohesion, and cooperation (Harvey & Reed, 2007).

In summary, the case study NGOs were already doing work parallel to the steps WRUAs are supposed to take to implement a project. Other NGO projects can learn from these three organizations' experiences. The key is to use the skills NGOs have but the communities lack to guide the community through the steps in the WRUA formation process. Participation from the community is not explicitly stated as necessary component of forming a WRUA. However, NGOs could encourage participatory WRUA formation by limiting their role to facilitation.

DISCUSSION

This chapter began with a discussion of the history of water management in Kenya through recent changes to a decentralized, catchment-level form. It described how changes in administrative governance presented additional challenges for water management. The Kenyan government is aware of the mismatch between the two management structures and is already working to address the problems through new legislation.

Decentralization is not unique to Kenya and there are applicable lessons from other countries that underwent similar reforms before Kenya. An analysis of decentralization in Uganda's administrative structure revealed tensions and resistance because some stakeholders were resistant to relinquishing control from the central to the local governments (Onyach-Olaa, 2003). Solutions included sharing experiences and networking and regular coordination of stakeholders. For decentralization to work in Kenya, the county governments need room from the central government to develop.

In another example, decentralization laws in Mali during the 1990s created 703 municipalities called *communes* (Jones, 2011). The *communes* are similar to the 47 counties in Kenya. Slow transfer of financial and technical resources from central to local governments led to NGOs supporting public service provision, including water, in rural areas. An international NGO partnered with local NGOs to create water management committees, much like WRUAs in Kenya, and to promote participation as a way to improve governance. Unfortunately, the committees ended up promoting hygiene and payment for operation and management of the hand pumps rather than wider community participation. By promoting payment, the committees undermined wider community participation and potential long term benefits to water access and democratic decentralization as the NGOS expected. WRUAs in Kenya need clarity on their roles and functions to avoid the same challenges in promoting participation.

Among the projects in the Chapter 1 study, local customs remained significant and traditional gender roles, where women are responsible for making sure there is enough water in the home, influenced community participation. The study in Mali found that factors such as age, gender, education, and geographic location further limited participation as a way to improve governance (Jones, 2011). WRUAs in Kenya should pay attention to those factors if associations want to function well.

Additionally, this chapter asked what we can learn about WRUA formation from NGOs implementing water projects in western Kenya. NGOs are already facilitating WRUA formation as demonstrated by the projects in the Chapter 1 study. It is now a matter of scaling up the number of NGOs that use their projects to support WRUA formation. For example, training local people to facilitate WRUA formation using participatory methods would benefit the NGOs and the communities they serve.

NGOs play an important role in convening participants for development projects. In India for example, NGO water projects focused more on social organizations than government water projects in a detailed survey of villages in two states (Kerr, 2002). In Kenya, even government agencies notice the successes that NGOs have with bringing people together and mimic the NGOs participatory actions (Brass, 2012a).

CONCLUSION

Kenya faces an uphill task with water provision given the influence of factors such as population growth and climate change. This paper contributed to literature on the history of water management in Kenya by reviewing water legislation from colonial times and discussing the potential effects of current water law. The newly decentralized government system that created counties is still in its infancy and water management focus on catchments present a unique challenge of merging management at the administrative and catchment scales.

Despite these challenges, people still need access to clean and safe water sources. NGOs could facilitate faster implementation of the new laws by accelerating formation of the WRUAs. To accomplish this task, NGOs can use their silks to bring people together around the common purpose of improving access to water. NGOs must also train the local community on how to manage water projects so people can fully exercise their participation in water management. Monitoring and evaluation must be a part of this training because they are essential for tracking progress and assessing impact.

CHAPTER 3 – Recommendations for Non-governmental Organizations, the Non-governmental Organization Coordination Board, County and National Governments, and Project Donors and Funders

INTRODUCTION

Through this research I had the opportunity to take a closer look at monitoring and evaluation (M&E) practices among non-governmental organizations that implement water and sanitation projects in western Kenya. I also explored the role that NGOs can play in helping communities form Water Resources User Associations, given the need to accelerate the formation of these grassroots water management entities under Kenya's new water law. There were several limitations to the study to note. First, the research was inductive. As such there were a few cases used to make observations. Results cannot be generalized to the larger NGO population. Second, Kenyan water law continues to evolve in light of the decentralized administrative governance structure. As such, there was little previous research completed on the laws potential effects. I discussed the potential implications of the changes to both water law and administrative structure in Chapter 2 but I could not than provide empirical evidence of its effect. Finally, time and money, the very resources discussed in literature as often limiting, affected my ability to spend more than one month with each of the three NGOs and to view the long-term effects of the new water law.

Nonetheless, this research provided insight into several gaps in current project operation that need to be addressed to improve NGO water and sanitation project implementation in Kenya. First, I found that NGOs need to allocate resources for M&E. Second, I found that NGO staff need training on how to conduct M&E. Ideally, the staff need training as facilitators in participatory methods for M&E because local customs and traditional gender roles were still important to the local community. Third, the local community needs training on how to become effective participants in projects and in project M&E. Community members and NGO staff also need training on how to manage water resources under the new water law. Based on these gaps in NGO project operation, this chapter provides recommendations for four audiences: non-governmental organizations, Kenya's NGO Coordination Board, project donors, and the government of Kenya.

RECOMMENDATIONS FOR NGOS

The International NGO's lack of a monitoring and evaluation plan leads to my first recommendation for NGOs. *I recommend these organizations collect data before, during, and after the implementation of the project to allow them to evaluate whether the project made a difference in people's lives without impacting the people negatively*. Emphasis must be placed on developing evaluation ready projects. The organizations cannot understand the effects of their projects if the project lacks a systematic way for assessing its impacts. Accomplishing this recommendation means NGOs must therefore budget the resources including time, money, and staff, for proper monitoring and evaluation.

The experiences of the Tank and Latrine NGO with getting local people to use the EcoSan latrines shows that understanding the local culture is important to implementing projects successfully. The Tank and Latrine NGO overcame initial resistance by the local community to the EcoSan latrines through education on the benefits of using the latrines. These observations also demonstrate how involving the local community is important to implementing successful projects. Ideally, local community involvement begins at the project development stage. *I recommend that NGOs build in time to learn about the local culture because doing so would improve acceptance of the project among people in the local community.* Resistance to the latrines might have been avoided altogether from the beginning had the NGO consulted the community earlier in the project. To accomplish this recommendation, NGO projects must start engaging the community early in their project cycle. Engaging the local community early in the project cycle ensures three things: (1) people from the community, the intended beneficiaries, get a clear picture of the project's expectations, including any role the local people will play in the project, (2) the NGO has the opportunity to make use of local knowledge, and (3) it reduces the chances of a project leading to unintended negative consequences.

My third recommendation relates to participation by women in water projects. I learned that women participated in project meetings differently when they were alone compared to when men were present at meetings in the International NGO's project.

These lessons coupled with observations that women are responsible for providing water for the homestead traditionally mean that NGO projects focused on encouraging women to participate will greatly improve access to clean and safe water. *I recommend that NGOs continue to encourage participation among women in their projects.* Effective participation among women means that the women need training to arm them with the proper knowledge. The kind of training depends on the nature of the project. For example, women could be trained on how to maintain a physical structure such as a tank. However, as previously discussed, customary laws and traditional gender roles are still alive and well. As such, NGOs must be cautious in training women to do jobs that might be traditionally considered jobs for men.

I recommend that NGOs improve project self-sufficiency by expanding training on basic project management skills. The Well NGO eventually turned its project over to the community. The organization succeeded by educating and training the local community on how to form a WRUA and manage the project. Other NGOs can continue in this vein and help the government by educating the communities they support on how to form WRUAs that maintain the project once the project period officially ends. By law, the associations are the grassroots management level to manage and deliver water to the communities, therefore any help communities receive to speed up their formation is good for improving access to clean and safe water. Community training must include developing skills related to writing grants and project operation and maintenance so that once the official project cycle ends, the local community has the skills to carry on.

NGOs were already supporting the national government by implementing projects that improve access to water and the organizations must continue this function for the new county governments. The county structure is new and the newly elected representatives and their incoming staff face an uphill task in functioning well. One of their functions is to provide water to their residents. *I recommend that NGOs continue to provide institutional support for the county governments by continuing to implement water projects but also by training county government staff.* The county staff can learn skills that translate into areas beyond water management. Participatory planning, for example, is applicable in other areas such as city planning and education.

RECOMMENDATIONS FOR NATIONAL AND COUNTY GOVERNMENTS

Tracking NGOs is a difficult endeavor given the number of organizations in Kenya. My initial query of NGO Coordination Board's database generated over 700 organizations that administer water and sanitation projects in the Lake Victoria region. *I recommend that the Government assign more and appropriately trained staff to the NGO Coordination Board.* When I visited the regional Board office, there were only three staff people assigned to the office. Despite the questionable quality of the database, there are undoubtedly many NGOs operating in the Lake Victoria Basin. Three staff cannot track even half that number of organizations effectively.

The reason NGOs such as the case study organizations work in Kenya at all is because people lack access to clean and safe water and adequate sanitation. *As such, I recommend that the Kenyan government work with the NGO Coordination Board to give priority to NGOs that set up projects to collect and store rainwater and those that improve waste disposal.* Improving storage would help increase the volume of water available to people. Increasing water availability through improving storage capabilities is particularly important if predictions about increase in population and climate change are accurate. Better waste disposal is essential to protect an already fragile ecosystem.

Before the case study NGO projects began, people used Lake Victoria as a water source, which lead to water-borne diseases. Preventing water from becoming polluted in the first place goes a long way toward reducing disease and improving health among people who still use the lake as their water source. *I recommend that the national and county governments ensure that polluters are prosecuted to the fullest extent of the law.*

This project was limited in both size and scope. *I recommend that the national and county governments conduct a study to find out why there are so many NGOs that administer water and sanitation projects yet access to both is still a problem for local* *populations around the Lake Victoria Basin.* Results from the study would help the Board better coordinate and advise NGOs on how to handle water delivery issues.

Current water law makes it more difficult for some people, particularly women, the poor, and people in rural areas to gain access to water. Water law favors those who own land because water rights are privatized to property owners. Self-help groups for example, cannot own land because land ownership is a very sensitive issue in Kenya and land privatization continues to increase. Even if a self-help group is registered as a Water Resources User Association, one among them must own land and must be willing to give people access to their property. *I recommend that the government revise water and land laws so that those at a disadvantage are not stressed further.* Water should not only be accessible to people who can access cash, have education and own land. Addressing inequity to water access will reduce potential conflict.

County governments are new whereas NGOs have been operating in Kenya for many years. In addition to accepting institutional support from the NGOs as previously discussed, *I recommend that the national government decentralize the NGO Coordination Board.* Water does not recognize county boundaries therefore decentralization could occur at the catchment scale which appears to be the scale at which water management will occur. Decentralizing the NGO Coordination Board by catchment might not be ideal for other areas NGOs work in such as education or youth development, therefore another option would be to decentralize by county.

RECOMMENDATIONS FOR THE NGO COORDINATION BOARD

NGOs sometimes shift their focus or add to their projects once the organizations gain a better understanding of the local context. All the case study NGO projects for example, began by addressing health issues before shifting to improving access to water. These changes are inevitable and often address another pressing issue in the community. The NGO coordination Board must be informed when such changes occur. *I recommend that the NGO Coordination Board increase its oversight to ensure that NGOs implement the project for which they registered and to ensure that changes in project scale or scope* *are approved*. Keeping the Board updated on such changes allows the Board to coordinate NGOs better.

Neither the registration form nor the annual report form (Appendix A) NGOs use to register and update the Board ask for any description of the project(s) the NGOs implement. *I recommend that as part of increasing oversight, the NGO Coordination Board ask for a description of the work the NGO intends to do.* This does not have to be a full-fledged work plan because as previously discussed, once the NGO starts work and has a better understanding of the local context, the methods they originally intended to use might change. However, the Board must at the very least, gain an idea of the project including information on how the NGO will monitor and evaluate the project. To accomplish this recommendation, the NGO Coordination Board will have to revise its registration and annual report forms to ask for more specific information about NGO projects.

Once the government has properly staffed the NGO Coordination Board, *I recommend that the Board establish an evaluation and monitoring unit.* This unit must include professionals trained in monitoring and evaluation so these staff can assess monitoring and evaluation strategies and reports submitted by the NGOs as part of the requirements for registration and operation in Kenya. Furthermore, this unit must encourage NGOs to monitor and evaluate their projects using a method that most suits their project. Differences in size (and project scope) among NGOs, such as the staffing differences between the International NGO and the other NGOs, showed that many factors affect monitoring and evaluation. One approach does not fit all circumstances but the monitoring and evaluation unit within the NGO Coordination Board would take those issues into consideration when tracking the NGOs' monitoring and evaluation approaches.

The NGO Coordination Board's mandate to manage NGOs in the country means that the Board needs to gain a better understanding of the NGO population. *I recommend that the NGO Coordination Board work together with county and national governments to find out why there are so many NGOs that administer water and sanitation projects yet* *access to both is still a problem for local populations around the Lake Victoria Basin.* Again, the results would help the Board better coordinate NGOs. Communities served by the NGOs can be self-reliant, as shown by the Well NGO's project, when the official project period ends. This should be the goal of NGOs if they are to make a meaningful and lasting impact on the local communities they serve.

The recommendations I provided for the NGO Coordination Board include calls for more and better oversight. However, I recognize that there must be a limit to the Board's oversight powers otherwise the NGOs lose the very autonomy their status affords. Furthermore, NGOs are often competing against each other for funding and resources. *I recommend that the Board, in its capacity as general overseer, promote exchange of information and experiences among NGOs so the organizations can learn from one another's experiences*.[16]

RECOMMENDATIONS FOR PROJECT DONORS AND FUNDERS

One of the lessons learned from the case study NGOs' experiences was that customs and traditional gender roles were still important in the communities the organizations served. The situation in the International NGO's project where women answered questions differently when men were present versus when they were alone is an important lesson in how women could experience changes in water access, for example, differently compared to men. Coupled with the traditional role that women play as responsible for household water supply, *I recommend that project donors and funders actively seek to support projects that encourage participation by women*.

The Tank and Latrine and the Well NGOs were fortunate to have resources for monitoring and evaluation. *I recommend that donors and funders set up budgets that account for project monitoring and evaluation appropriately*. Doing so ensures resources are used efficiently. I also recommend that donors and funders recognize that the

[16] There used to be an organization known as the NGO Council that was supposed to function as a forum for NGOs registered with the NGO Coordination Board. However, the Council appeared inactive when I was in the field

communities these projects try to help can offer valuable insight into how monitoring and evaluation should be conducted. Participatory methods for monitoring and evaluation hold everyone involved accountable for the project's outcomes which leads to better results for all.

CONCLUSION

Although NGO are not always as good as they could be when it comes to project monitoring and evaluation, they still have an impact on people's lives. Hopefully that impact is positive and improves people's lives. NGOs' intentions are good and they must receive recognition for trying to do something to help people.

This dissertation calls for more accountability and better communication among NGOs, national and county governments, the NGO Coordination Board and project donors and funders. All these actors are responsible for making sure that NGO projects actually make a positive difference. Furthermore, these actors are responsible for ensuring that NGO projects use the resources at hand in the most efficient ways to carry out the work. Accountability and greater communication are important to protection of the constitutional right to water among all Kenyans, male and female, rich or poor, rural or urban.

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Appendix A:

- **Application for Registering a Non-governmental Organization in Kenya (Form 3)**
- **Non-governmental Organization Board Annual Report Form (Form 14)**

FORM 3

NON-GOVERNMENTAL ORGANIZATIONS CO-ORDINATION BOARD

APPLICATION FOR REGISTRATION OF NON-GOVERNMENTAL ORGANIZATION IN KENYA.

PART I

(Important notes to be read before completing the Form)

1. This form is to be completed by any organization seeking registration under the Non-Governmental Organizations Act, 1990. Applicants are therefore advised to obtain and familiarize themselves with the Non-Governmental Co-ordination Act, 1990 and the Non-Governmental Organizations Regulations 1992.
2. Application for registration will be submitted to the Executive Director, NGOs Co- ordination Board, P.O Box 44617 – 00100, Nairobi, Kenya
3. Three original application forms must be accompanied by the following:-
   a) Personal particulars for the three top officials in the prescribed form see (Part III 1-3). Each official must complete as directed on the Form;
   b) Three copies of the proposed organization constitution signed by the three top officials;
   c) Two current coloured passports size photographs of the applicants;
   d) A copy of ID for Kenyan Official and Passport for foreigners;
   e) A notarized certificate of registration outside Kenya/incorporation in Kenya (if applicable);
   f) A copy of minutes of the proposed organization authorizing the filling of the application;
   g) A notification of location of the office and the postal address of the proposed organization Form 1 signed by the three top officials of the proposed organization;
   h) The application fee payable to the Executive Director NGOs Co- ordination Board as specified in Regulation 33.
4. No organization will be allowed to operate as an NGO in Kenya without a certificate of registration issued by the NGOs Co- ordination Board
5. A registered organization will be subject to all the Laws of Kenya
6. While filing these forms the officials confirm and certify that they have read and understood the conditions and further confirm that the information they have given is true to the best of their knowledge. That untrue information would be subject to cancellation of the registration certificate.
7. This form is for the purpose of registration only (*other issues i.e. application for work permit, tax and duty exemptions will be handled separately*) but processed through the NGOs Co-ordination Board.

PART II
(To be completed by the applicant)

1. (a) Name of the proposed organization ....

   (b) Postal address of proposed organization ....

   (c) Physical address of the proposed organization (if known)..

   (d) Telephone: No .... (e) Cellphone No ....

   (f) E-mail address ....

2. Date and Country/State of first registration (applies if the organization has existing registration status i.e Society, CBO, Trust, Company) ....

a) Main objective of the proposed organization as provided for in the constitution ....

....

....

(b) Nature of proposed organization (tick appropriately)

- ☐ Agriculture
- ☐ Animal welfare
- ☐ Culture
- ☐ Disability
- ☐ Drug and Alcohol Addiction
- ☐ Education
- ☐ Energy
- ☐ Environmental Conservation
- ☐ Health
- ☐ HIV/AIDS awareness/mitigation
- ☐ Housing and Settlement
- ☐ ICT
- ☐ Microfinance
- ☐ Peace building
- ☐ Population and Reproductive Health
- ☐ Promotion of Good Governance
- ☐ Promotion of Human Rights
- ☐ Relief/Disaster Management
- ☐ Relief of Poverty
- ☐ Road Safety
- ☐ Sports
- ☐ Water and Sanitation
- ☐ Welfare

Any other (specify) ....

c) Who will your organization help?

- ☐ Caregivers for vulnerable groups(OVCs, Elderly, PLWAs)
- ☐ Children in general
- ☐ Children living with HIV and Aids
- ☐ Commercial Sex Workers
- ☐ Drug and alcohol addicts
- ☐ Elderly people
- ☐ Homeless people
- ☐ Orphans and vulnerable children
- ☐ People with disability
- ☐ People living with HIV and Aids
- ☐ Prisoners and ex-convicts
- ☐ Poor women
- ☐ Refugees
- ☐ Society in general
- ☐ Street children
- ☐ The poor in general
- ☐ Youth

Any other (specify) ....

d) How does your organization operate?

- ☐ Acts as an umbrella or network body for NGOs/CBOs
- ☐ Makes grants to individuals
- ☐ Makes grants to groups of individuals
- ☐ Makes grants to organizations
- ☐ Provides training to individuals
- ☐ Provides training to communities
- ☐ Provides buildings/facilities
- ☐ Provides services
- ☐ Provides human resources
- ☐ Provides equipment / materials
- ☐ Provides loans to individuals
- ☐ Pays school fees/provide learning materials for school going children
- ☐ Provides advocacy/ information/advice
- ☐ Provides food aid and other basic necessities to communities/individuals
- ☐ Undertakes research

Any other (specify) ....

4. For Organizations in operation, please indicate your income for the last financial year. ....
5. Financial Year of the proposed organization ....
6. Other countries of operation (where applicable) ....
7. Current and planned counties of operation (specify at most five counties) ....

....

PART III (1)

1. Personal particulars of the Chairperson

a. Name ....
   Postal Address ....
   Permanent Address ....
   Residential Address ....
b. Previous Name: if any ....
c. County ....
d. Location ....
e. Sub Location ....
f. Telephone ....
g. E-mail ....
h. Date and place of Birth ....
i. Current Nationality ....

j. Previous Nationality ....
k. Nationality at Birth ....
l. Passport/ID Number ....
m. PIN Number ....
n. Place of issue of ID/Passport ....

2. Qualifications

a. Educational Background

Name of Schools and Colleges Attended	Certificate Attained	Date	
		From	To

b. Profession/Occupation ....
c. Please indicate place and date of attainment ....
d. Current Employment ....

I certify that I have read and understood the conditions given in part I. I undertake to abide by them as required and hereby confirm that the information given by us in Parts II and III is correct to the best of my knowledge.

Name ....

Signature .... Date ....

PART III (2)

1. Personal particulars of the Secretary

a. Name ....
Postal Address ....
Permanent Address ....
Residential Address ....
b. Previous Name: if any ....
c. County ....
d. Location ....
e. Sub Location ....
f. Telephone ....
g. E-mail ....
h. Date and place of Birth ....
i. Current Nationality ....
j. Previous Nationality ....
k. Nationality at Birth ....
l. Passport/ID Number ....
m. PIN Number ....
n. Place of issue of ID/Passport ....

2. Qualifications

a. Educational Background

Name of Schools and Colleges Attended	Certificate Attained	Date	
		From	To

b. Profession/Occupation ....
c. Please indicate place and date of attainment ....

d. Current Employment……………………………………………………………………………………

I certify that I have read and understood the conditions given in part I. I undertake to abide by them as required and hereby confirm that the information given by us in Parts II and III is correct to the best of my knowledge.

Name……………………………………………………………………………………………………

Signature……………………………………………………Date……………………………………………

PART III (3)

1. Personal particulars of the Treasurer

a. Name……………………………………………………………………………………………

Postal Address……………………………………………………………………………………

Permanent Address………………………………………………………………………………

Residential Address………………………………………………………………………………

b. Previous Name: if any……………………………………………………………………………

c. County……………………………………………………………………………………………

d. Location …………………………………………………………………………………………

e. Sub Location………………………………………………………………………………………

f. Telephone…………………………………………………………………………………………

g. E-mail……………………………………………………………………………………………

h. Date and place of Birth……………………………………………………………………………

i. Current Nationality………………………………………………………………………………

j. Previous Nationality………………………………………………………………………………

k. Nationality at Birth………………………………………………………………………………

l. Passport/ID Number………………………………………………………………………………

m. PIN Number………………………………………………………………………………………

n. Place of issue of ID/Passport………………………………………………………………………

2. Qualifications

a. Educational Background

Name of Schools and Colleges Attended	Certificate Attained	Date	
		From	To

b. Profession/Occupation……………………………………………………………………………

c. Please indicate place and date of attainment………………………………………………………

d. Current Employment……………………………………………………………………………

I certify that I have read and understood the conditions given in part I. I undertake to abide by them as required and hereby confirm that the information given by us in Parts II and III is correct to the best of my knowledge.

Name……………………………………………………………………………………………………

Signature……………………………………………………Date……………………………………………

PART IV

List of Additional Board members *(Attach separate sheet if necessary).*

1. ……………………………………………
2. ……………………………………………
3. ……………………………………………
4. ……………………………………………
5. ……………………………………………
6. ……………………………………………
7. ……………………………………………
8. ……………………………………………
9. ……………………………………………
10. ……………………………………………
11. ……………………………………………
12. ……………………………………………

FORM 14

NON-GOVERNMENTAL ORGANIZATIONS BOARD

ANNUAL REPORT

Please read these notes before filling this form

If either your total income/funding or expenditure exceeds the sum of Kenya Shillings One Million (Kshs. 1,000,000), you must send, together with this form, an Audited Report from recognised auditors within ICPAK.The accounts MUST be in Kenya Shillings and Compliant with International Financial reporting Standards (IFRS).

You must send this form duly filled not later than 90 days from the date of completion of your financial year. We recommend that you send all the required documents to the NGOs Board, at least two weeks before the due date to ensure that they are received and processed on time.

Please enter all financial amounts in Kenya Shillings (KShs.)

To the Executive Director
NGOs Co-ordination Board
P. O. Box 44617
Nairobi

Financial year Starting on ______________________ Ending on ______________

SECTION A - GENERAL INFORMATION

A1) Name and Address of NGO

Name ______________________

Postal Address ______________________

Physical Address ______________________

Telephone ______________________

Cell Phone ______________________

Fax ______________________

Email ______________________

Website ______________________

Where any organization registered or exempted from registration changes the situation of its registered office or postal address, it shall give notice of such change to the Board in Form 4 set out in the First schedule (Section 20 (3) NGO Regulations, 1992)

A2) Name and Address of Contact Person

Name ______________________

Position ______________________

Telephone ______________________ Cell Phone ______________________

Email ______________________

Nationality (SELECT country)

A3 a) Registration Number ______________________

A3 b) NGOs PIN Number ....

A4) Date of Registration ____________________

A5) Scope of NGO *(Tick where appropriate)*

National ☐ International ☐

A6) Counties of operation

NGOs Should report only on the counties they operated in during the reporting period

SECTION B - FINANCE

Section 127 of the Income Tax Act empowers the Commissioner of Income Tax to specify (i.e precsribe) the form of a return. The Commissioner has in turn specified the form of return, which requires that income and expenditure be declared in Kenya shillings.

B1) List of NGO's Assets & Reserves, in regard to the following *(Those stationed in Kenya only)*

Item	*Number*	*Estimated Value*
Land		
Building		
Machinery		
Motor Vehicles		
Furniture and Fittings		
Computers		
Printers		
Scanners		
Photocopiers		
Fax Machines		
Investment Securities (eg Shares,bonds)		
Reserves		
Other(Specify)		

B2) Receipts

i) Cash and Bank balances carried forward from previous year

ii) Income

__NOTE__: For every donor given below, indicate their type based on the categories given below

Donations

i) Religious Institution
ii) Research/Academic Institution
iii) Agency of Kenya Government
iv) Embassy/High Commission
v) Foundation/Trust
vi) United Nations Agency
vii) Foreign Government Agency
viii) Non Governmental Organization
ix) Headquarter of this NGO
x) Directors' Contribution
xi) Membership Subscription
xii) Corporate donors (eg Business companies)
xiii) Individual donors

Other Incomes

i) NGOs Self generated income (eg Consultancy services,Farming & Business income))
ii)Returns from investments(eg dividends & interest).
iii) Others (Specify)

Name of Donor	*Type of Donor*	*Country*	*Amount*
iii) Income sub-total			-
iv) Receipts total {B2(i) + B2(iii)}			-

B3) Payments

	Kenya	*Other Countries*	
i) Purchase of tangible assets			-
ii) Projects cost			-
iii) Administration costs			-
iv) Personnel emoluments & benefits			
(a) Local Staff			-
(b) International Staff			-
v) Other Running Costs			-
vi) Payments total	-	-	-

B4(I) Closing Balance{B 2(iv)-B3(Vi)}	
II Cash & Bank balance (As per Bank statement and Cash Count)	-

B5) Accounts audited in the last Financial Year.

(Tick where appropriate)

Yes ☐

No ☐

B6) For the amount spent on Projects in B3(ii) above, break it down to sectors in which it was spent in Kenya and other countries

Sectors here refers to the main result (Target Objective) expected from project implementation. While it is true that a project could have various components;the basis usually is to achieve a result in a specific sector i.e a HIV/AIDs Sector project could have a non security ,microfinance components.Note that the totals in section B6 should tally with project cost figures indicated on B3.

Sector	***In Kenya***		***In other countries***
Agriculture			
Children			
Disability			
Education			
Environment			
Gender			
Governance			
Health			
HIV/AIDS			
Informal Sector			
Information Communication technology			
Micro-finance			
Old Age Care			
Peace Building			
Population and Reproductive Health			
Refugees			
Relief			
Water			
Welfare			
Youth			
Other *(Specify)*			

B7) Name(s) of Bank(s) and Brach(es) for this NGO

	Bank	*Branch*
i)		
ii)		
iii)		

NGOs are required to obtain authorization letters from the NGOs Co-ordination Board before opening bank accounts.

SECTION C - PERSONNEL

C1) State the number of Employees and Volunteers both local and International

i) Stationed in Kenya

	Local Staff	*International Staff*	***Total***
Previous Year			-
Current Year			-
Staff who came in this year			-
Staff who left this year			-

ii) Stationed in other countries (*Specify* ________

	Local Staff	*International Staff*	***Total***
Previous Year			-
Current Year			-

iii) Volunteers/Interns

	Local Staff	*International Staff*	***Total***
Previous Year			-
Current Year			-

C2) Privileges accorded to Volunteers/Interns

	Local		International	
	Volunteers	Interns	Volunteers	Interns
Allowances/Stipends	☐	☐	☐	☐
Housing	☐	☐	☐	☐
Insurance	☐	☐	☐	☐
Medical	☐	☐	☐	☐
Training	☐	☐	☐	☐
Others *(Specify)*	☐	☐	☐	☐
________	☐	☐	☐	☐

C3) Number of staff members trained during the reporting period

	Local Staff	*International Staff*	***Total***
In-house Training			-
Professional Training			-
Other Training (*Specify*)			
________			-
________			-
Total	-	-	-

SECTION D - PROJECTS

Note that "Projects in Other Countries" as referred to in this Section are the activities which were administered, supervised or co-coordinated from the Kenyan office of this NGO.Sectors here refers to the main result (Target Objective) expected from project implementation. while it is true that a project could have various components;the basis usually is to achieve a result in a specific sector i.e a HIV/AIDs Sector project could have an non security, microfinance components.

D1) Projects carried out

Sector	i) Projects carried out this year, that were brought forward from previous year		ii) Projects carried out this year, that were started during the year		iii) Projects carried out this year, that were completed during the year	
	Kenya	*Other*	*Kenya*	*Other*	*Kenya*	*Other*
Agriculture	☐	☐	☐	☐	☐	☐
Children	☐	☐	☐	☐	☐	☐
Disability	☐	☐	☐	☐	☐	☐
Education	☐	☐	☐	☐	☐	☐
Environment	☐	☐	☐	☐	☐	☐
Gender	☐	☐	☐	☐	☐	☐
Governance	☐	☐	☐	☐	☐	☐
Health	☐	☐	☐	☐	☐	☐
HIV/AIDS	☐	☐	☐	☐	☐	☐
Informal Sector	☐	☐	☐	☐	☐	☐
Information	☐	☐	☐	☐	☐	☐
Micro-finance	☐	☐	☐	☐	☐	☐
Old Age Care	☐	☐	☐	☐	☐	☐
Peace Building	☐	☐	☐	☐	☐	☐
Population and Reproductive Health	☐	☐	☐	☐	☐	☐
Refugees	☐	☐	☐	☐	☐	☐
Relief	☐	☐	☐	☐	☐	☐
Water	☐	☐	☐	☐	☐	☐
Welfare	☐	☐	☐	☐	☐	☐
Youth	☐	☐	☐	☐	☐	☐
Other *(Specify)* ____________	☐	☐	☐	☐	☐	☐
____________	☐	☐	☐	☐	☐	☐
____________	☐	☐	☐	☐	☐	☐
	☐	☐	☐	☐	☐	☐

D2) Contribution(s) from Local Community and Government *(Projects carried out in Kenya only)*

i) From Local Community *(Tick where appropriate)*

		Estimated amount
Material	☐	____________
Labour	☐	____________
Financial	☐	____________
Other *(Specify)* ____________	☐	____________

ii) From Government *(Tick where appropriate)*

Tax waiver and VAT Exemption ☐

Other *(Specify)* ________________ ☐

Items/Goods granted
Tax Waiver/VAT Exemption — *Amount granted*

________________ ________________

________________ ________________

________________ ________________

D3) Type of Organization collaborated with and Nature of Collaboration

(Projects carried out in Kenya only) (Tick where appropriate)

	Information Exchange	Technical Support to Partner	Technical Support from Partner	Funding to Partner	Funding From Partner	Equipment to Partner	Equipment from Partner
NGOs	☐	☐	☐	☐	☐	☐	☐
CBOs	☐	☐	☐	☐	☐	☐	☐
FBOs	☐	☐	☐	☐	☐	☐	☐
Research Institutions	☐	☐	☐	☐	☐	☐	☐
Academic Institutions	☐	☐	☐	☐	☐	☐	☐
Health Institutions	☐	☐	☐	☐	☐	☐	☐
Government of Kenya Agencies	☐	☐	☐	☐	☐	☐	☐
Donor Agencies	☐	☐	☐	☐	☐	☐	☐
Other (Specify)							

SECTION E - GOVERNANCE

E1) Number of Board meetings per year, by NGO's Constitution ________________

E2) Meetings held previous year ________________

E3) Meetings held in current year ________________

E4) Date of Last Annual General Meeting (AGM) ________________

E5) Frequency of Elections as per Constitution *(Tick where appropriate)*

Annually ☐
Every 2 years ☐
Every 3 years ☐
Every 4 years ☐
Every 5 years ☐
Other *(Specify)* ________ ☐

E6) Date of last Election ________________

E7) Number of Directors/Officials ________________

E8) During the financial year, have any assets of this NGO stolen or otherwise misappropriated by a person who was, at the time, associated with this NGO (whether the assets or their value have been recovered or not)?

Yes ☐ No ☐

E9) Names of three current Officials

	Name	*Postal Address*	*Telephone*
i)			
ii)			
iii)			

Where there is any change of officers or of the title of any office of a registered Organization, notice in Form 13 set out in the First Schedule shall be given to the Board within fourteen days of the change and the notice shall be signed by three of the officers of the Organization (NGOs Regulations 22(1). Note that the changes only become effective after a letter of confirmation is issued by the NGOs Coordination Board

SECTION F - DECLARATION

I declare that the information given in this form is true and correct to the best of my knowledge, and that it reflects the actual state and activities of this Organization.

Signed by Chief Officer: Name __________ Sign __________ Date ______

Organization official stamp

Appendix B: Primer on Select Participatory Monitoring and Evaluation Methods

Introduction

There has been increasing recognition among development agencies that participation from local communities is important to understanding the impacts of development projects and programs. Active community participation improves implementation efficiency, cost recovery, and project sustainability (Bamberger, 1988) and including local people in research and planning "enhances effectiveness and saves time and money in the long term" (Cornwall & Jewkes, 1995). The purpose of this primer is to summarize some of the common participatory research methods development agencies have used.

Participatory research methods are based on the work of early ethnographers conducted in the late 1800s and early 1920s by Mohandas Gandhi and his collaborator Bodhisatva Bhimrao Ramji Ambedkar. Ambedkar was the first Untouchable to obtain a college degree and worked alongside Gandhi fighting for social rights for the poorest people in India. The two addressed poverty, oppression, racism, and class/caste systems by organizing Untouchables into camps to get them to talk about why they were poor and to think about what this lowest of the low castes could do about it. Gandhi spent time in South Africa and took the organizational tools they had applied in India to the trade unions in South Africa. While there he was a victim of racism and classism as an Indian. This time changed him and upon his return to India, his crusade for social justice really began. His time in South Africa also influenced other leaders of social justice movements such as Martin Luther King, Jr., Nelson Mandela and Paulo Freire.

Activist Participatory Research

Activist Participatory Research (APR) is a family of research methods "which use dialogue and participatory research to enhance people's awareness and confidence, and to empower their action" (Chambers, 1992). Based on Paulo Freire's work in the late 1960s, APR began with conscientization in Latin America. The main conclusion from Freire's work was that poor and exploited can and should analyze their realities.

APR focuses on empowering the poor, exploited, and underprivileged by encouraging political action and is related to both participatory research (PR) and participatory action research (PAR) (Chambers, 1992). Its emphasis on the underprivileged and on political action limited its spread because the method threatened political and/or professional interests compared to PRA which is also concerned with poverty and equity but has less extended dialogue and is less ideologically radical.

APR contributed to the development of Participatory Rural Appraisal (PRA). There are several commonly shared ideas between APR and PRA. They are that:

- Poor people are creative, capable, and can and should do much of their own investigation, analysis and planning
- Outsiders are conveners, catalysts and facilitators
- The weak should be empowered

Rapid Rural Appraisal

Rapid Rural Appraisal (RRA) emerged in the late 1970s as a "quick" method for gathering information about rural development projects and its origins are attributed to three conditions (Chambers, 1992). First was the dissatisfaction with the biases, particularly anti-poverty and deprivation biases, of rural development where an urban-based professional paid a quick visit to rural areas. Second, RRA came from disillusion with the conventional research processes using survey questionnaires. Finally, RRA emerged from a need for more cost-effective ways of learning information.

There are five operational suggestions for conducting an effective RRA (Chambers, 1981). While the method is intended to be quicker than a large-scale survey, RRA requires enough time to gather information. Second, careful thought is devoted to identifying and offsetting biases. Third is to avoid the “limousine-best-village-garland-speeches” syndrome. Fourth is to listen and learn as in treating rural people as teachers, acquiring an emic perspective, and remaining open to unexpected information. Lastly, combining different data-gathering methods is essential to triangulating data and filling in the picture.

Appreciative Inquiry

Appreciative Inquiry (AI) originated in 1980 with an organizational analysis of a Cleveland Clinic and it was David Cooperrider and Suresh Srivastva at Case Western University that developed this strategy for organizational change (Watkins & Mohr, 2001). The term “appreciative” comes from the idea that the value of something “appreciates” with time while the term “inquiry” refers to the process of seeking to understand through asking questions. Two sets of essential ingredients are at the core of AI. There are five core principles: constructionist, simultaneity (inquiry is intervention), anticipatory, poetic (no limits to inquiry), and positive. There are also five core processes: focus on the positive as a core value; inquire into stories of life-giving forces; locate the themes that appear in the stories and select topics for further inquiry, create shared images for a preferred future; find innovative ways to deliver on the image of the preferred future; and sustain the change.

The underlying assumption for AI is that every living being has a core of strengths that are hidden and/or underutilized (Stetson, 2007). In practice it is an ongoing process to understand what gives life to a system when it is functioning at its best. The process results in a series of statements about what the organization or entity being studied wants to be, based on the great moments it has already experienced. The method appears to have quite a following and recent information on advances in the method is available through the Appreciative Inquiry Commons (http://appreciativeinquiry.case.edu/). The web site also serves as a portal for accumulating case studies.

Participatory Rural Appraisal

PRA evolved most directly from RRA and became more popular in the 1990s (Chambers, 1992). It continues to evolve such that it is difficult to provide one definition. Rather it is a family of approaches. In contrast with RRA where the researcher owns and shares the information, PRA information is shared and owned by the local people (Chambers, 1992). Table 1 contrasts RRA and PRA. Developed and tested methods in the PRA family include (Chambers, 1994b):

- participatory mapping and modeling
- transect walks
- matrix scoring
- well-being grouping and ranking
- institutional diagramming
- seasonal calendars
- trend and change analysis
- analytical diagramming

The method requires well-trained facilitators who relax, show respect, allow the locals to take ownership of the process, and remain “self-critically aware” (Chambers, 1992). Sources and parallels to PRA include activist participatory research, agroecosystem analysis, applied anthropology, field research on farming systems, and rapid rural appraisal.

Evidence shows that PRA produces highly valid and reliable data (Chambers, 1992). Information is more owned and shared by local people rather than professional possessiveness and the people are therefore more empowered (Chambers, 1994b). PRA provides up-to-date, reliable, and credible information compared to that from official information channels (Chambers, 1994b). In addition, PRA exposes typically office-based personnel to direct, informal, and non-threatening environments (Chambers, 1994b).

Dangers to PRA include faddism, rushing, formalism (i.e. making manuals), ruts, and rejection by academics (Chambers, 1992). Academics' opinions continue to change toward accepting PRA as a valid method (Chambers, 1994b). Challenges in spreading it as a method include quality assurance and institutional change (Chambers, 1992). Comparing results among projects remains a problem because commensurability conflicts with local diversity (Chambers, 1994b). In addition, empowerment among local people could potentially be unequal. PRA thrives on the ability for the method to become self-sustaining and self-improving and attaining both is difficult. Establishing PRA as a way of operating is difficult because it requires reversing and changing organizational culture (Chambers, 1994b). As such, organizations with democratic management, lateral communication, and flexible and adaptive modes of operation are more likely to adopt and develop PRA.

PRA has been applied in natural resources management (e.g., soil and water conservation, fisheries, village planning), agriculture, programs for the poor, health, and food security (Chambers, 1992). From its beginnings in Ethiopia, India, Kenya, and Sudan, the method spread to other countries in Latin America, Africa, and Asia (Chambers, 1994b). PRA's spread is more lateral than vertical, personal rather than official, and experiential instead of educational (Chambers, 1994b).

Table 1: Comparison of RRA and PRA (Chambers, 1992; Chambers, 1994b)

	RRA	**PRA**
Period of major development	Late 1970s, 1980s	Late 1980s, 1990s
Major innovators based in	Universities	NGOs
Main users	Aid agencies Universities	NGOs Government field organizations
Key resource earlier overlooked	Local people's knowledge	Local people's capabilities
Main innovation	Methods	Behavior
Predominant mode	Extractive-elicitive	Facilitating-participatory
Ideal objectives	Learning by outsiders	Empowerment of local people
Outcomes sought	Useful information, reports, plans, projects	Sustainable local action and institutions
Aim	Learn methods	Change behaviors and attitudes
Duration	Longer (weeks)	Shorter (days)
Style	Classroom then practice	Practice then reflection
Source of learning	Manuals and lectures	Trials, experience
Location	More in the classroom	More in the field
Learning experience	Intermittent Intellectual	Continuous Experiential
Good performance seen to be through	Stepwise and correct application of the rules	Flexible choice, adaptation and improvisation of methods

Participatory Action Research

Participatory Action Research (PAR) refers to a research process where people in the population under study participate actively with a professional researcher from the initial design to the final presentation of the results and discussion of their action implications (Whyte, Greenwood, & Lazes, 1991). The method was developed in the late 1990s and has a strong overlap with APR (Chambers, 1992). Through accessible communication, including meetings and socio-dramas, participants engage in collective research, production, and diffusion of new information (Chambers, 1994a; Cornwall, Guijt, & Welbourn, 1993).

PAR has a strong parallel to APR in that it focuses on the poor and powerless who investigate their condition and take action accordingly. As such, there are several key features to PAR, many of which are similar to APR and other participatory research methods (Greenwood, Whyte, & Harkavy, 1993). Collaboration between members of the organization or community being studied and the professional social researcher is necessary. Local knowledge and analysis is important because community members are knowledgeable, intelligent, and they develop their own roles and stakes in the research. The research process is purposely multidisciplinary, eclectic, and case-oriented. Finally, the process is emergent in that it increases in dimension and depth as it progresses, and it links scientific understanding with social action.

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Appendix C: Survey Questionnaire for Case Study Nongovernmental Organizations Implementing Water and Sanitation Projects in the Lake Victoria Basin

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I. About You and Your Organization

Please tell us a little bit about yourself and your organization

1. Name of the organization:

2. Name of the person completing survey:

3. What is your role in the organization?

4. Mailing address:

5. Telephone Number:

6. Today's Date:

II. Project and Project Participant Profile

We would like to learn about the primary type, typical size, and number of participants in the projects your organization oversees.

7. Does your organization administer water projects in the Lake Victoria area? This includes borehole, dam or irrigation ditch construction, water quality improvement, community training on water management.
   Please choose **only one** of the following:

   ☐ Yes

   ☐ No

   ☐ Don't know

8. What types of projects does your organization administer?
   [Only answer this question if you answered 'Don't know' or 'No' to question 7]

9. In which district(s) are most of your organization's projects implemented?
   [Only answer this question if you answered 'Don't know' or 'No' to question 7]

10. Approximately how many projects of the type previously specified does your organization administer?
Please choose **only one** of the following:

- ☐ Less than 10
- ☐ 10 to 25
- ☐ 25 to 50
- ☐ 50 to 100
- ☐ More than 100
- ☐ Don’t know:
- ☐ Other (Please specify):

11. Approximately how many direct participants from the community are there in an average project administered by your organization?
Please choose **only one** of the following:

- ☐ Less than 50
- ☐ 50-100
- ☐ 100-500
- ☐ 500-1000
- ☐ More than 1000
- ☐ Don’t know
- ☐ Other (Please specify):

III. Monitoring and Evaluation Practices

Monitoring and evaluation are generally used to measure progress toward goals and to assess the impact of program Activities, respectively. We would like to know more about your organization's monitoring and evaluation practices.

12. Does the organization use written guidelines or standards for monitoring and evaluation?
    Please choose **only one** of the following:

    - ☐ Yes
    - ☐ No
    - ☐ Don’t know
    - ☐ Other (Please specify):

13. Who has primary responsibility for collecting the information used in monitoring and evaluating projects supported by your organization?
    Please choose **only one** of the following:

    - ☐ The participants
    - ☐ NGO field staff
    - ☐ The project manager
    - ☐ NGO headquarters or regional staff
    - ☐ Government counterpart or personnel
    - ☐ Don’t know
    - ☐ Other (please specify):

14. How often does the organization provide training for the person (or people) collecting monitoring and evaluation information?
    Please choose **only one** of the following:

    - ☐ Less than once a year
    - ☐ One to two years
    - ☐ Three to four years
    - ☐ Training is not provided
    - ☐ Don’t know
    - ☐ Other (please describe):

15. Which of the following data collection methods is the primary method used by your organization for project monitoring and evaluation?
Please choose **only one** of the following:

- ☐ Panel studies, where a sample of people are interviewed extensively at intervals
- ☐ Formal field surveys using statistically valid sampling
- ☐ Informal field surveys using qualitative methods
- ☐ Group interviews, where a group of people are interviewed at once
- ☐ Key informant interviews with people with special knowledge about the project
- ☐ Participant observation
- ☐ Case studies of participant households or of the community
- ☐ Trend analysis of project records
- ☐ None of the above
- ☐ Don’t know

16. Some organizations use participatory methods for monitoring and evaluation, where local people are closely involved. A few are listed below. Has your organization adopted any of these methods?
Please choose **all** that apply:

- ☐ My organization does not use participatory methods
- ☐ Participatory assessment, monitoring and evaluation (PAME)
- ☐ Participatory Action Research (PAR)
- ☐ Rapid Rural Appraisal (RRA)
- ☐ Social Action Research (SAR)
- ☐ Don’t know
- ☐ Other (Please specify):

17. Which of the following information about participation is measured in projects supported by your organization?
Please choose **all** that apply:

☐ Gender of participants

☐ Age of participants

☐ Attendance at project meetings or workshops

☐ Type of work done by each individual

☐ Amount of work or hours contributed by each person

☐ Income or benefits gained from participation by each individual

☐ Costs to participants associated with participation

☐ Don't know

☐ Other (Please specify):

18. Who is primarily responsible for analyzing the monitoring and evaluation information collected?
Please choose **only one** of the following:

☐ The participants

☐ NGO field staff

☐ The project manager

☐ NGO headquarters or regional staff

☐ Government counterpart or personnel

☐ Other (Please specify):

☐ Don't know

IV. Post-Project Goals

We would like to learn more about your organization's post-project goals, particularly about self-reliance. Self-reliance refers to whether your organization's goal is that the community continues the project on their own once the official project period ends.

19. Is community self-reliance a goal in the projects administered by your organization?
Please choose **only one** of the following:

☐ Yes

☐ No [skip to question 22]

☐ Don't know

20. With regard to self-reliance, which of the following are monitored over time?
Please choose **all** that apply:

☐ Level of community control over resources

☐ Degree of financial contribution by local people to a development activity

☐ Degree of participation in the maintenance of a development activity

☐ Independent actions taken by local people

☐ Other (please describe):

V. *Customary Rules and Development Projects*

Customary rules are codes of conduct considered binding forms of agreement among members of a community. They include taboos and other guidelines for conduct. We would like to learn more about your organization's experiences with local customary laws.

21. Are you aware of customary rules that influence your organization's activities in your project area(s)?
Please choose **only one** of the following:

☐ Yes:

☐ No [skip to question 25]

☐ Don't know

22. Please describe the customary rules you have encountered.
[Only answer this question if you answered 'Yes' to Question 21]

23. Does your organization incorporate these customary rules in your projects?
[Only answer this question if you answered 'Yes' to Question 21]

☐ Yes (please describe):

☐ No

☐ Don't know

24. Please describe how your organization incorporates customary rules in your projects
[Only answer this question if you answered 'Yes' to Question 21]:

VI. *Opinions about Monitoring and Evaluation*

Finally, we would like to learn about your organization's overall opinions about project monitoring and evaluation.

Rate your level of agreement with the following statement.
Please choose **only one** option with each statement:

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
25. "Monitoring and evaluation strikes me as fairly unimportant"	☐	☐	☐	☐	☐
26. "There is a need for improved monitoring and evaluation practices in my organization"	☐	☐	☐	☐	☐
27. "In general, there is a need for improved monitoring and evaluation practices among development organizations"	☐	☐	☐	☐	☐

28. What type of training would you like to see?
[Only answer this question if you answered 'Agree' or 'Strongly Agree' to question 'opinions and if you answered 'Agree' or 'Strongly Agree' to question 27]
Please choose **all** that apply:

- ☐ More training on what kind of information to collect
- ☐ More training on organizing and interpreting the information
- ☐ More training on how to do environmental monitoring
- ☐ More training on how to monitor participation
- ☐ Don’t know
- ☐ Other (please describe):

VII. Feedback

29. Would you like to know the results of this study and would like a copy of the resulting publications?

- ☐ Yes
- ☐ No

30. What format would you like to receive these materials?

- ☐ Electronic (via e-mail or online link)
- ☐ Mail

Thank you for participating in this survey. We appreciate your cooperation, and welcome any additional comments or feedback.

For more information, please contact:

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Appendix D: Field Visit Interview Questions for Case Study NGOs

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1. Tell me about the history of [insert organization name here].
2. What types of projects does [insert organization name here] administer?
   a. Which ones are water and sanitation projects?
   b. What is the organization's approach to monitoring and evaluating projects?
3. I am interested in focusing on the [insert water and sanitation project name] project. Tell me more about the project's origins.
   a. What did the project planning process involve?
   b. How were monitoring and evaluation factored into project planning and implementation?
      i. What will happen once the project is complete?
   c. What are the challenges to implementing the project?
   d. How are people from the community involved in the project?
   e. Which customary rules have you encountered that affect the project?
      i. How do the roles of men and women differ in the project?

Appendix E: Supplemental Survey

In addition to examining monitoring and evaluation among the three case study NGOs in the Lake Victoria Basin (LVB), a survey also went to the list of water and sanitation (WATSAN) NGOs registered with the NGO Coordination Board (the survey appears at the end of this appendix). As with all surveys, there were decisions to make and the most pertinent ones in this case were about the format, whether the survey would be administered on paper or online, and which language to use. An electronic version was chosen for two reasons. First, the NGO Coordination Board advised that if an NGO did not have an e-mail address in the database, chances the organization was active in the field were low (Valerie Were, personal communication R.O. [1], 5 February 2013). Second, Kenyans are technologically savvy. The country is described as Africa's version of Silicon Valley and enjoys faster broadband connections compared to South Africa, Africa's economic powerhouse (Smith, 2012). People in rural areas have at least one mobile phone and there are Internet cafes everywhere. With regard to language choice, preparations were in place to have the survey translated into Kiswahili or Luo, the predominant language spoken in that part of Kenya. However, English is the official language of Kenya and many speak it well. Furthermore, NGOs that work at the national and international levels were the predominant organizations in target population rather than entities such as community-based organizations that are more likely to have fewer staff comfortable with completing a survey in English.

The list of potential survey recipients came from the NGO Coordination Board's database that is publicly available for download from their Web site (Republic of Kenya NGO Coordination Board, 2013). A query of the database produced 793 WATSAN NGOs. The list of organizations may not reflect accurately the actual number of active NGOs because there are updates continually. Four hundred and fifty-three of the 793 potential NGOs included e-mail contact information in their registration and therefore

[1] Initials rather than full names are used in all personal communication references to protect the interviewees' identity and NGO's privacy.

received the link to participate in the survey. Potential respondents were contacted three times. The first message was the initial invitation to participate and included a link to the survey. The second and third e-mail messages included the link to the survey and were reminder notices sent at two-week intervals after the first e-mail was sent. The survey was 31 questions long. Responses were imported into Microsoft Excel to facilitate comparison among respondents.

The original intent was to use this larger survey to get broad perspectives on M&E practices among WATSAN NGOs. However, response rates to the survey were very low. Of the 435 invitations that went out, only 25 surveys returned. Ten were fully completed while 15 returned partially completed. There are several reasons that could explain why response rates were so low. First, organizations might not be as technologically connected as perceived. Second, when organizations register with the NGO Coordination Board, the person filling in the registration self-selects the sectors and districts where the NGO intends to work. Although each organization received a personalized invitation with their name in the greeting, the invitation to participate may have been ignored on the basis that the person who viewed the e-mail message did not find it applicable to the organization's current work. 'Water and Sanitation' may no longer be a focus. A third plausible reason relates to comments made during interviews with staff from the NGO Coordination Board. The person interviewed referred to 'briefcase NGOs' (Valerie Were, personal communication with R.O., 5 February 2013). The term refers to an NGO that is literally someone carrying a well-written proposal in a briefcase (Fowler, 1997). Finally, there is the issue of covering the potential range of project activities the organization might undertake but are unknown to the registrant during registration. In another interview, the person said organizations strategically choose to list themselves as one-stop shops. That is to say, NGOs purposely list sectors outside their core areas of work rather than potentially opening themselves up to questions from the NGO Coordination Board and/or the Government about working outside their approved list of sectors. (Valerie Were, personal communication M.S., 8 April 2013).

The unsuccessful attempt at using an online survey lent itself to the question of how to increase response rates. In this case, pairing the online survey with a paper version may have been the better way to go to improve response rates. However, including a paper version would substantially increase the cost and resources were unavailable to support a mailed survey of that scale.

Results

General Project Information

NGOs administered fewer than ten projects; participants numbered fewer than 500

After general questions about the organization such as the name and respondent's role in the organization the next set survey questions aimed at getting general sense of the primary type, typical size, and number of direct participants in the projects each organization oversaw (Questions 7 to 11). Nine of the ten respondents reported that they administered projects in the LVB. The lone "no" respondent among may not have understood the question because the town where that the NGO indicated as its main project hub was in the LVB and WATSAN was listed as one of this particular NGO's areas of emphasis in the NGO Coordination Board database. However, the organization might have felt that its focus was in other areas.

Next, the organizations were asked how many projects and how many people participated directly in the average project (Questions 10 to 11). The majority of organizations responded that they administered fewer than ten projects. One NGO did not answer the question while another had yet to get WATSAN projects on the ground.

Eight out of ten NGOs said their projects involved 500 people or fewer (Questions 11). Two organizations said their projects involved more than 1000 people. Additional research conducted on these two NGOs projects revealed that one was a well project in a rural community and the project provided water for about 1000 people. Unfortunately, there was no further information on the project administered by the other NGO that indicated large numbers of participants.

Monitoring and Evaluation Methods and Approaches

Monitoring and evaluation (M&E) practices among NGOs were the next area explored based on factors such as presence or absence of guidelines and standards, responsibility for collecting the information, and methods used to collect information (Questions 12 to 19). The first question in this section asked whether the organization had written guidelines or standards for M&E. This question gauged whether the organization linked, conceptually, its project activities to the project's impacts and whether there was a consistent manner for measuring those links from project to project. Case study NGO A did not have a written plan for how to carry out M&E. Among the ten respondents, eight organizations reported that they used written guidelines and standards.

The second question about M&E approaches asked the NGOs whose responsibility it is to collect the information used in M&E (Question 13). This question was intended to gauge whether direct project participants were involved in collecting information and could indicate community participation. The NGOs were presented with options and the person filling out the survey had the opportunity to add a response. NGO field staff were most often responsible for collecting M&E information. Results suggested that direct project participants were not involved in collecting the information used for M&E.

Monitoring & evaluation training appeared frequent

The NGOs were asked how often the individual(s) collecting M&E information receive formal training to understand if there was continuing education for the individual(s) (Question 14). Six out of the ten respondents reported that the M&E person received training at a frequency of less than once a year. Three of the organizations recorded 'Other' responses and reported that they provided M&E training four times a year, when the need arises, and regular training when the project is set up. These results suggest that there is frequent M&E training which is encouraging because it appears that the NGOs are trying to support the staff person in their responsibilities and update their skills overtime.

Monitoring & evaluation may not have been as participatory as reported

Understanding the extent to which M&E was participatory in the case study and e-mail survey NGOs organizations was useful because other studies found that participation from local communities is important the improving project outcomes (Bamberger, 1988; Cornwall & Jewkes, 1995). First, there was a question about the primary method for collecting M&E information to get a general sense of how the information was collected (Question 15). Respondents chose one option from the list provided. Three NGOs selected a ‘formal field survey’, two selected ‘panel studies’, two selected ‘case studies’, and two selected ‘participant observation’, and one selected ‘group interviews’ as their organization’s method for collecting M&E information.

Community Engagement Practices

The next question asked if the NGOs used specific participatory M&E methods. There are established participatory methods, such as rapid rural appraisal, used in international development (Clark, Sartorius, & Bamberger, 2004). Participatory Assessment, Monitoring, and Evaluation (PAME), Participatory Action Research (PAR), Rapid Rural Appraisal (RRA), and Social Action Research (SAR) were the choices available for selection while ‘DK’ referred to ‘Don’t know’ (Appendices A and B, Question 16; see Appendix D for more on participatory methods). PAME was the most common choice with seven respondents indicating the method as one their organization uses (Question 16). Its selection was not surprising because ‘The Community’s Toolbox” that describes the method in detail was the result of a workshop on participatory M&E in 1988 in Kisumu, Kenya (Davis-Case, 1990). PAME, like many other participatory methods, flips the traditional top-down development approach to one where the local community benefiting from the project sets the agenda by identifying their own needs, setting their own objectives, and monitoring and evaluating progress (Davis-Case, 1990). PAME also places the information needs of the community above those of the project.

Information on which attributes NGOs collected about their direct project participants, such as age, and gender, were other factors of interest (Question 17). Again, the organizations were encouraged to check all applicable answers and to add a response. The goal was to understand whether NGOs tracked gender explicitly and to learn what other information about participants the NGOs collected. Involvement among women is particularly important because women (and children) are still primarily responsible for making sure there is enough water in the household (Sobania, 2003). Anecdotal evidence also suggested that NGOs helping Kenyan communities improve water access like to work with women's groups (Valerie Were, personal communication with P.O., J.M., and A.B.O., 11 October 2011; 11 April 2012; February 8 2013, respectively). 'Attendance at meetings' was the most frequent type of information collected. 'Age' and 'Type of work done by the individual' were the next most frequent responses with five out of the ten organizations reporting that they collected these pieces of information.

Collecting M&E information is useful but analyzing the information and using it to make decisions is another feat. NGOs were asked to indicate who is primarily responsible for analyzing M&E information (Question 18). Respondents chose one response from several options or added a response. Participants do not typically analyze M&E information, the project manager or NGO staff conducted the analyses in six of the ten organizations. This result was interesting because many of the NGOs previously stated that PAME was their evaluation method of choice. The community is supposed to have primary responsibility for analyzing M&E information and NGOs role is to facilitate the process. NGO staff in six of the ten organizations used M&E information to make decisions about the project (Question 19).

Influence of Customary Rules and Gender Norms

Eight out of the ten e-mail survey respondents stated that they encountered customary laws in their work (Questions 22 to 25). One respondent stated they had to ask community leaders in order to conduct their work. A second NGO respondent mentioned customs specific to women, giving the example that women do not inherit land and that when the man dies, his brothers inherit his wives. The inability to inherit land limits access to any water because private land ownership determines the right to access water on the land. Two other respondents echoed the tradition that women and girls are responsible for collecting water for the household. Another also stated that adults and children do not share latrines while another commented on how men dominate water project committees. Only one organization among the survey respondents stated that they incorporated the local customs. They accomplished this by assigning tasks to those who were culturally allowed to carry out the task and, in general, assigned roles according to customs.

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Survey Questionnaire for Nongovernmental Organizations Implementing Water and Sanitation Projects in the Lake Victoria Basin

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I. About You and Your Organization

Please tell us about yourself and your organization

1. Name of the organization:

2. Name of the person completing survey:

3. What is your role in the organization?

4. Mailing address:

5. Telephone Number:

6. Today's Date:

II. Project and Project Participant Profile

We would like to learn about the primary type, typical size, and number of participants in the projects your organization oversees.

7. Does your organization administer water projects in the Lake Victoria area? This includes borehole, dam or irrigation ditch construction, water quality improvement, community training on water management.
   Please choose **only one** of the following:

   ☐ Yes

   ☐ No

   ☐ Don't know

8. What types of projects does your organization administer?
   [Only answer this question if you answered 'Don't know' or 'No' to question 7]

9. In which district(s) are most of your organization's projects implemented?
   [Only answer this question if you answered 'Don't know' or 'No' to question 7]

10. Approximately how many projects of the type previously specified does your organization administer?
Please choose **only one** of the following:

- ☐ Less than 10
- ☐ 10 to 25
- ☐ 25 to 50
- ☐ 50 to 100
- ☐ More than 100
- ☐ Don’t know:
- ☐ Other (Please specify):

11. Approximately how many direct participants from the community are there in an average project administered by your organization?
Please choose **only one** of the following:

- ☐ Less than 50
- ☐ 50-100
- ☐ 100-500
- ☐ 500-1000
- ☐ More than 1000
- ☐ Don’t know
- ☐ Other (Please specify):

III. Monitoring and Evaluation Practices

Monitoring and evaluation are generally used to measure progress toward goals and to assess the impact of program Activities, respectively. We would like to know more about your organization's monitoring and evaluation practices.

12. Does the organization use written guidelines or standards for monitoring and evaluation?
    Please choose **only one** of the following:

    - ☐ Yes
    - ☐ No
    - ☐ Don’t know
    - ☐ Other (Please specify):

13. Who has primary responsibility for collecting the information used in monitoring and evaluating projects supported by your organization?
    Please choose **only one** of the following:

    - ☐ The participants
    - ☐ NGO field staff
    - ☐ The project manager
    - ☐ NGO headquarters or regional staff
    - ☐ Government counterpart or personnel
    - ☐ Don’t know
    - ☐ Other (please specify):

14. How often does the organization provide training for the person (or people) collecting monitoring and evaluation information?
Please choose **only one** of the following:

☐ Less than once a year

☐ One to two years

☐ Three to four years

☐ Training is not provided

☐ Don’t know

☐ Other (please describe):

15. Which of the following data collection methods is the primary method used by your organization for project monitoring and evaluation?
Please choose **only one** of the following:

☐ Panel studies, where a sample of people are interviewed extensively at intervals

☐ Formal field surveys using statistically valid sampling

☐ Informal field surveys using qualitative methods

☐ Group interviews, where a group of people are interviewed at once

☐ Key informant interviews with people with special knowledge about the project

☐ Participant observation

☐ Case studies of participant households or of the community

☐ Trend analysis of project records

☐ None of the above

☐ Don’t know

16. Some organizations use participatory methods for monitoring and evaluation, where local people are closely involved. A few are listed below. Has your organization adopted any of these methods?
Please choose **all** that apply:

☐ My organization does not use participatory methods

☐ Participatory assessment, monitoring and evaluation (PAME)

☐ Participatory Action Research (PAR)

☐ Rapid Rural Appraisal (RRA)

☐ Social Action Research (SAR)

☐ Don't know

☐ Other (Please specify):

17. Which of the following information about participation is measured in projects supported by your organization?
Please choose **all** that apply:

- ☐ Gender of participants
- ☐ Age of participants
- ☐ Attendance at project meetings or workshops
- ☐ Type of work done by each individual
- ☐ Amount of work or hours contributed by each person
- ☐ Income or benefits gained from participation by each individual
- ☐ Costs to participants associated with participation
- ☐ Don’t know
- ☐ Other (Please specify):

18. Who is primarily responsible for analyzing the monitoring and evaluation information collected?
Please choose **only one** of the following:

- ☐ The participants
- ☐ NGO field staff
- ☐ The project manager
- ☐ NGO headquarters or regional staff
- ☐ Government counterpart or personnel
- ☐ Other (Please specify):
- ☐ Don’t know

19. Who primarily uses monitoring and evaluation information to make decisions about projects?
Please choose **only one** of the following:

- ☐ The participants
- ☐ NGO field staff
- ☐ The project manager
- ☐ NGO headquarters or regional staff
- ☐ Government counterpart or personnel
- ☐ Don't know
- ☐ Other (Please specify):

IV. Post-Project Goals

We would like to learn more about your organization's post-project goals, particularly about self-reliance. Self-reliance refers to whether your organization's goal is that the community continues the project on their own once the official project period ends.

20. Is community self-reliance a goal in the projects administered by your organization?
Please choose **only one** of the following:

- ☐ Yes
- ☐ No [skip to question 22]
- ☐ Don't know

21. With regard to self-reliance, which of the following are monitored over time?
Please choose **all** that apply:

- ☐ Level of community control over resources
- ☐ Degree of financial contribution by local people to a development activity
- ☐ Degree of participation in the maintenance of a development activity
- ☐ Independent actions taken by local people
- ☐ Other (please describe):

V. Customary Law and Development Projects

Customary laws are rules and norms that are codes of conduct considered binding forms of agreement among members of a community. They include taboos and other guidelines for conduct. We would like to learn more about your organization's experiences with local customary laws.

22. Are you aware of customary rules that influence your organization's activities in your project area(s)?
Please choose **only one** of the following:

☐ Yes:

☐ No [skip to question 24]

☐ Don't know

23. Please describe the customary rules you have encountered.
[Only answer this question if you answered 'Yes' to Question 21]

24. Does your organization incorporate these customary rules in your projects?
[Only answer this question if you answered 'Yes' to Question 21]

☐ Yes (please describe):

☐ No

☐ Don't know

25. Please describe how your organization incorporates customary rules in your projects
[Only answer this question if you answered 'Yes' to Question 21]:

VI. ***Opinions about Monitoring and Evaluation***
Finally, we would like to learn about your organization's overall opinions about project monitoring and evaluation.

Rate your level of agreement with the following statement.
Please choose **only one** option with each statement:

	Strongly disagree	Disagree	Neutral	Agree	Strongly agree
26. "Monitoring and evaluation strikes me as fairly unimportant"	☐	☐	☐	☐	☐
27. "There is a need for improved monitoring and evaluation practices in my organization"	☐	☐	☐	☐	☐
28. "In general, there is a need for improved monitoring and evaluation practices among development organizations"	☐	☐	☐	☐	☐

29. What type of training would you like to see?
[Only answer this question if you answered 'Agree' or 'Strongly Agree' to question 'opinions and if you answered 'Agree' or 'Strongly Agree' to question 27]
Please choose **all** that apply:

☐ More training on what kind of information to collect

☐ More training on organizing and interpreting the information

☐ More training on how to do environmental monitoring

☐ More training on how to monitor participation

☐ Don't know

☐ Other (please describe):

___

VII. Feedback

30. Would you like to know the results of this study and would like a copy of the resulting publications?

- ☐ Yes
- ☐ No

31. What format would you like to receive these materials?

- ☐ Electronic (via e-mail or online link)
- ☐ Mail

Thank you for participating in this survey. We appreciate your cooperation, and welcome any additional comments or feedback.

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