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ADDIS ABABA UNIVERSITY SCHOOL OF COMMERCE

DEPARTMENT OF PROJECT MANAGEMENT

**FACTORS AFFECTING SUCCESSFUL IMPLEMENTATION OF PROJECTS IN NON
GOVERNMENTAL ORGANIZATIONS WITHIN URBAN SLUMS UPGRADING IN
ADDIS ABABA: THE CASE OF HABITAT FOR HUMANITY ETHIOPIA**

BY

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Statement of Declaration

I hereby declare that the study which is being presented in this thesis entitled “**FACTORS AFFECTING SUCCESSFUL IMPLEMENTATION OF PROJECTS IN NON GOVERNMENTAL ORGANIZATIONS WITHIN URBAN SLUMS UPGRADING IN ADDIS ABABA: THE CASE OF HABITAT FOR HUMANITY ETHIOPIA**” is original work of my own. It had not been presented for a partial fulfillment for any educational qualification at this university or any other and in any projects by any means, and all the resources materials used for this thesis had been accordingly acknowledged.

Bereket Mekonnen

Date

Statement of Declaration

I hereby declare that the study which is being presented in this thesis entitled “**FACTORS AFFECTING SUCCESSFUL IMPLEMENTATION OF PROJECTS IN NON GOVERNMENTAL ORGANIZATIONS WITHIN URBAN SLUMS UPGRADING IN ADDIS ABABA: THE CASE OF HABITAT FOR HUMANITY ETHIOPIA**”. It is conducted by Bereket Mekonnen for the partial fulfillment of the requirements for the award of master’s degree in **Project Management**. To the best of my knowledge it is original work carried by him. It had not been presented for a partial fulfillment for any educational qualification at this university or any other and in any projects by any means.

Mengistu Bogale (PhD)

Advisor

Date

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List of Acronyms

ChSA	: Charity and Society Agency
CSO	: Civil Society Organization
CSP	: Charities and Societies Proclamation
CSR	: Corporate social responsibility
DPPC	: Disaster Prevention and Preparedness Commission
DRRR:	: Disaster Risk Response and Reduction
GNP	: Gross national product
HDO	: Housing Development Project Office
HFHE	: Habitat for Humanity Ethiopia
IMF	: International Monetary Fund
PMI	: Project management Institute
NGO	: Non-Governmental Organization
SIDA	: Swedish International Development Agency
UN	: United Nations
U.S.	: United States
UK	: United Kingdom
USAID	: United States Agency for international Development
UNDP	: United Nations Development Programme

Abstract

Successful implementation of projects in NGOs within urban slums is a challenging endeavor to undertake due to government policy, scarcity of funding and stakeholders relationship on implementation of the project need utmost care. Hence, considering the stated difficulties the study is conducted using 28 respondents to analyze slum upgrading activity of Habitat for Humanity Ethiopia's in Addis Ababa through descriptive analysis. The study indicates positive effect of capacity building, stakeholder's relationships and implementation of project as well as timely implementation of project is the strength of the slum upgrading projects. Contrarily scarcity of finance and the government policy of 30/70 ratio of funding have adversely affected the projects. The study recommends the government need to revise it is policy on the financing of projects that has a direct influence on poverty reduction and welfare of the city's image.

Key Words: *Urban Slum Upgrading, Implementation of projects, Non-Governmental Organizations, Stakeholder relationships*

CHAPTER ONE: INTRODUCTION

1.1 Background of the study

Over half (54%) of the world's population lives in urban areas and this proportion is expected to increase to 66 per cent by 2050. About 90% of this projected increase will occur in Asia and, most significantly, in Africa, which is experiencing the highest rates of urbanization globally. This trend towards urbanization is closely linked with an increasing number of people living in urban poor communities, including in slum environments. Since 1990 the absolute number of people living in slums increased from 689 million to 880 million by 2014, with sub-Saharan Africa contributing 56% of this increase. As urbanization trends accelerate the number of people living in urban slums will also increase, especially in Africa.

The inclusion of the right to housing in the Universal Declaration of Human Rights illustrates the significance of access to adequate housing for all human beings. Access to adequate housing also constitutes the priority of the United Nations Millennium Declaration agenda 7, target 11 which aims to improve the lives of at least 100 million slum dwellers by the year 2020 (www.un.org/millenniumgoals). Slums are lowest-standard settlements which enable millions of poor people around the world meet their basic needs. They exist below the international social standards of adequate living. The security in the slums is a nightmare, overcrowding is extreme, the sanitation is awful and diseases are rampant. Life of the slum dwellers is made even worse by poor governance, corruption, stigma and social segregation.

The process of urbanization historically has been associated with other important economic and social transformations, which have brought greater geographic mobility, lower fertility, longer life expectancy and population ageing. Cities are important drivers of development and poverty reduction in both urban and rural areas, as they concentrate much of the national economic activity, government, commerce and transportation, and provide crucial links with rural areas, between cities, and across international borders. Urban living is often associated with higher levels of literacy and education, better health, greater access to social services, and enhanced opportunities for cultural and political participation. Nevertheless, rapid and unplanned urban growth threatens sustainable development when the necessary infrastructure is not developed or when policies are not implemented to ensure that the benefits of city life are equitably shared. Today, despite the comparative advantage of cities, urban areas are more unequal than rural areas

and hundreds of millions of the world's urban poor live in sub-standard conditions. In some cities, unplanned or inadequately managed urban expansion leads to rapid sprawl, pollution, and environmental degradation, together with unsustainable production and consumption patterns. Urbanization is integrally connected to the three pillars of sustainable development: economic development, social development and environmental protection. The outcome of the Rio+20 United Nations Conference on Sustainable Development, "The future we want" (<http://www.un.org/en/sustainablefuture/>), recognized both the plight of the urban poor and the need for sustainable cities as matters of great urgency for the United Nations development agenda. Building on that momentum, the third United Nations Conference on Human Settlements (Habitat III), planned for 2016, will bring together world leaders to review the global urban agenda and to forge a new model of urban development that integrates all facets of sustainable development, to promote equity, welfare and shared prosperity in an urbanizing world.

UN-habitat (2008) noted that between 1990 to 2005 urban dwellers living in slums decreased from 47% to 37% in developing countries; however, the global situation is different from the Ethiopia experience where the slums continue to grow as more people move to urban areas in search for jobs. The result of unequal urban growth in various countries today has given rise to various challenges that each nation has to face. These challenges include grinding poverty, environmental degradation, income inequalities, historical socioeconomic inequalities, marginalization and various forms of exclusion. These challenges have contributed immensely to the proliferation of slums.

The challenge now, is to create a symbiosis between new districts and poor areas – in particular developing new programmes to rehabilitate informal settlements in Ethiopia. With 80% of the population in Addis Ababa still living in slums, and urbanization at a rate of 8% per annum, this is a problem that will intensify if it isn't tackled quickly.

Today, Addis Ababa is characterized by a 'mix', basically people of different socio-economic backgrounds living side by side in far closer proximity than any other African city can boast.

This legacy can be traced back to the founding of the city in 1880 by the great Emperor, who had his servants, military, and gentry live in a clustered community around him. When the city grew, this original mix expanded.

Protecting this diversity is a key challenge in the current plan to modernize the city – a much needed upgrade given the population pressure on the capital. Today’s government policies focus on turning Addis Ababa into a ‘modern metropolis’ that the country can be proud of – and that is no small task.

In a bid to tackle the growth of slums, a development strategy in 1986 prohibited the maintenance of houses without foundations (mostly slum and informal housing). Consequently, parts of the city were modernized, but some other parts weren’t rehabilitated. That’s why today much of our work in Ethiopia consists in bringing essential services such as clean water and toilets to informal settlements in Ethiopia – as well as upgrading these very slums.

The 1986 plan was around the time that free-market ideas were widely promoted to African countries by international institutions such as the IMF (International Monetary Fund) and the World Bank. When the ‘Ethiopian People’s Revolutionary Democratic Force’ came to power, it was hoped that the market (with the nudge of a few subsidies) would step in and solve the housing shortage.

1.2 Background of the organization

Habitat for Humanity Ethiopia is part of Habitat for Humanity International. Habitat Ethiopia started work in 1993 with the aim of assisting low-income and vulnerable families to move out of substandard housing. Habitat Ethiopia has been able to diversify its areas of interventions to help families in 16 communities across the country. As a result of the efforts made over years, thousands of families who could not afford even basic renovations of their housing units now live in decent homes and get access to clean water and improved sanitation facilities. The target beneficiaries are people with low income, vulnerable and marginalized groups, women headed families and elderly people.

In addition to housing, Habitat Ethiopia expands its work focusing on Vulnerable Group Housing, Water Sanitation and Hygiene, and communal infrastructure such as walk ways and ditches. Habitat Ethiopia also joins the national efforts being made to help people affected by drought through its Disaster Risk Response and Reduction- DRRR WASH Project.

For more than 24 years, Habitat for Humanity Ethiopia has been working with low income and vulnerable families to help them move to decent houses, and get access to improved hygiene and sanitation services. HFHE also launched a new Disaster Risk Response and Reduction Project

(DRRR) to assist families who are affected by drought and acute shortage of water. Currently, HFH is implementing its programs in Addis Ababa, Fitcha, Kombolcha, Silte, and other communities.

To scale up its work and reach more families in need of housing, water, sanitation and hygiene, Habitat Ethiopia is implementing a 3-year strategic plan in partnership with stakeholders. While developing the strategic plan, we take into account the multidimensional poverty challenges in Ethiopia to diversify our interventions and bring about impact at community, sector and societal levels. The key components of the strategic are programs designed to address urgent needs.

1.3 Statement of the Problem

Like many other developing countries, Ethiopian cities suffer from shortage of infrastructure and urban service, urban environmental degradation, homelessness, urban decay and high unemployment (UN-Habitat, 2011). One of the grim problems facing cities is the proliferation of slum. Available data indicate that 80 percent of urban population resides in slum housing that needs either complete replacement or significant upgrading (UN- Habitat, 2007 and 2008). The degree and conditions of slum, however, vary across cities of the country. It is dire in Addis Ababa, capital city, where slums constitute the greater portion of the residential areas. More than 80 percent of Addis Ababa is a slum (UN-Habitat, 2004; Wenieshet, 2007; Elias, 2008; Gebre, 2008) with 70 percent of this comprising government owned rental housing (UN-Habitat, 2011). Addis Ababa's slum areas are characterized by overcrowded neighborhoods with no or little basic infrastructure and municipal services, poor hygienic conditions, lacking safe drinking water and sewage. This has been making health conditions of dwellers poor. Available literatures indicated that absence of adequate water and sanitation in slum areas have resulted in the presence of various diseases (Fry et al, 2002; Water aid, 2008). UN-Habitat (2003) revealed that in some of the slums, child mortality rates are more than twice than the rural figure.

It is estimated that one-fifth of the world's population does not have adequate shelter whatsoever, while more than a million people, mainly children, die daily because of lack of adequate housing, and majority of these are found in the developing world. Many professionals have been trying to make uniform criteria for adequate housing throughout the world including legal security of tenure, availability of services and infrastructure, affordability, habitability, accessibility, location and cultural adequacy (UN Habitat, 1996).

There has been a rapid growth of cities and urban areas all over the world; this has been accompanied by a rapid growth in the number of urban inhabitants who live in sub-standard and overcrowded conditions. The figures from developing countries show that town dwellers represent an average of thirty to sixty per cent of the urban population. It is estimated that over fifty per cent of the urban population live in extreme poverty, with this figure rising to as high as 79 per cent in some cities. Half of the current urban population is of low-income, and over one billion urban dwellers have been counted among the urban poor (Moser & Satterthwaite, 1985). Social exclusion is also attributable to slum areas. According to Habtamu (2011) slum dwellers have poor social ties with non- slum dwellers. Study of slums by YUVA (1996) also revealed that the most significant impact of the riots was the special segregation and ghettoization of community. The lion shares of Addis Ababa's slum dwellers are residing in government owned houses, and thus is making them feel unsecured and unstable. This implies that living condition of slum area is very poor and unsound.

According to the UN-Habitat (2008), the progress made on slum improvement had not been enough to counter the growth of slums. The report highlighted that the efforts to reduce the number of slum dwellers or improve their living standards had not been adequate.

This study looks at challenges facing implementation of slum upgrading programmes in Addis Ababa, Gullele Sub city (Woreda 5 and 6) slum upgrading projects a case study of Habitat for Humanity Ethiopia and recommend ways through which the challenges can be addressed.

1.4 Research Questions

In order to accomplish the objective of the study and keep focus on what is relevant for this research, the following research questions were developed:

- How does existing policy on slum affect implementation of the programmes in HFHE, slum upgrading projects?
- How did funding affect implementation of projects of HFHE?
- What was the effect of training of staff on implementation of projects of HFHE?
- What were the effects of stakeholder relationships on the implementation of projects of HFHE?

1.5 Objective of the study

1.5.1 General Objective

The general objective of this study was to determine the factors affecting successful implementation of projects in Non-Governmental organizations within the urban slums in Addis Ababa, Gullele Sub city (Woreda 5 and 6) slum upgrading projects: The Case of Habitat for Humanity Ethiopia.

1.5.2 Specific objectives

This study was guided by the following specific research objectives

- I. To find out how existing policy on slum upgrading affects implementation of the programmes by HFHE in Addis Ababa, Gullele Sub city (Woreda 5 and 6) projects.
- II. To find out how funding affects implementation of projects of Habitat for Humanity Ethiopia.
- III. To find out how training affects implementation of projects of Habitat for Humanity Ethiopia.
- IV. To find out how stakeholder relationship affects the implementation of projects of Habitat for Humanity Ethiopia.

1.6 Significance of the study

The slums and informal settlements provide shelter to majority of urban dwellers in Addis Ababa, HFHE, Gullele Sub city (Woreda 5 and 6) slum upgrading projects and are indeed a major urban phenomenon in all urban centers, addressing the challenges of slum upgrading for urban informal settlements will contribute towards improving the livelihoods of the slum dwellers. The failure of slum upgrading programmes would mean continued suffering of the vulnerable groups in the slums. The study identifies the causes of these challenges and proposes appropriate recommendations which will help the programme to achieve its objectives. The study has also given possible solutions and recommendations to help, fill the gaps and identify loop holes that might have been overlooked by various stakeholders of the upgrading programme in their approaches and interventions. For purposes of further research, this study has provided a baseline to the investigation of other challenges in the implementation of the slum upgrading programme.

1.7 Scope of the study

This study has been confined to Habitat for Humanity Ethiopia, Addis Ababa Urban Slum upgrading project in Gullele Sub city (Woreda 5 and 6) slum upgrading projects. The study assessed the factors affecting successful implementation of projects within urban slums of the organization. The sample of the study is comprised management personnel and non-management level within the organizations that interfaces with and were routinely involved in project management activity. The research is conducted using structured questionnaires. The structured questionnaires are related to the PMBOK 5th edition's project cost management related to funding, project stakeholder management and project human resource management related to training.

1.8 Limitation of the study

The limitation of the study anticipated could be mainly divided into three: -

Technical problems in the time of data collection process sense there are not much secondary data available from the organization side linked to project factors affecting successful implementation within urban slums of the organization.

The knowledge and of the respondents in relation to project affecting successful implementation within urban slums of the organization may affect the outcome of the study since the study is off descriptive nature and may reflect the attitude of the employees as well as human resource professionals and management members.

There is also anticipation that the study may face resource problem in both financial and time wise since the time allotted is not sufficient to assess the entire phenomenon regarding the subject matter.

1.9 Organization of the Study

The following constitutes the flow and the structure of this research work Chapter one contains background of the study; the problem statement; objectives of the study; research questions; significance of the study; scope of the study. Chapter two encompasses the state of the current literature. The research constituting an analysis of literature on history of slums in Ethiopia, slums upgrading, rights to housing, institutional arrangements for slum upgrading, literature review on challenges of slum upgrading, theoretical framework, and conceptual framework. Chapter three comprises the methodology used in this research. It describes the target population

and the scope of the study; sampling strategies; data collection methods; data collection instruments; data collection procedure and data editing. Chapter four embraces the research findings. In this part the researcher presented the data collected from the research using various data presentation methods and provide analysis and interpretation. Chapter five uses these interpretations to draw informed conclusions on this research. This section ended with recommendations and conclusions meant to bridge the gaps identified through the research findings. These recommendations are hoped to form a fertile reference not only for HFHE slum in Addis Ababa Gullele Sub city (Woreda 5 and 6) slum upgrading projects but also for other slum upgrading initiatives in Ethiopia and elsewhere in the world. This section is also present field challenges and areas that need further research.

1.10 Definition of Terms

Slum: There is no universally agreed definition of slum. According to United Nations Expert Group Meeting held in October 2002 in Nairobi, Kenya recommended an operational definition of a slum to include characteristics such as: “inadequate access to safe water; inadequate access to sanitation and other infrastructure; poor structural quality of housing; overcrowding; insecure residential status” (UN-HABITAT, 2003)

UNCHS (2002) defined a slum as “a term used to describe a wide range of low-income settlements and/or poor human living conditions”. The definition also encompasses housing areas that were once respectable or even desirable, but which have since deteriorated, as the original owners have moved to new or better areas of the cities. The term slum, has, however come to include also the vast informal settlements that are quickly becoming the most visual expression of urban poverty.

Upgrading: The word upgrading usually refers to an effort to improve living conditions in particular urban areas characterized by poor-quality housing and inadequate infrastructure and service delivery (Ndukui, 2012).

Slum Upgrading: Slum upgrading is a process of intervention for economic, organizational and environmental improvement to an existing human settlement undertaken collectively among citizens, community groups, governments (national/local) and any other development partners (Non-governmental, multi-lateral/bilateral organizations). Although the reasons for slum upgrading may vary from place to place, the main push factors have included the demand for

affordable tenure options, environmental health considerations and poverty reduction (Syagga, 2011).

Informal settlements: “As settlements where inhabitants are confronted and exposed to insecure residential status; inadequate access to safe water; inadequate access to sanitation and other basic infrastructure and services; poor structural quality of housing and overcrowding” (UN-HABITAT, 2003). .

Stakeholders: Persons, groups or institutions with interests in project or programme (McElroy & Mills, 2000).

CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction to Literature Review

This chapter gives an insight into the literature by other scholars and researchers on the aspect of factors affecting successful implementation of projects in Non-Governmental organizations within the urban slums. It reviews literature that is related to the specific and general objectives of the research. It specifically covers the past studies where it discusses literature related to the specific objectives of the study. It also presents literature on the critical review of major issue, summary and gaps to be filled and the conceptual framework.

This section presents theoretical literature review on how existing policy of ChSA on slum upgrading affects implementation of the programmes, issues of strategy implementation, theories of strategy implementation, funding/capital, capacity building/training, and stakeholder relationship.

2.2 Existing policy of ChSA

The proclamation to provide for the registration and regulation of Charities and Societies (Proclamation No. 621/2009) was enacted on 13 February 2009 taking effect as the overall legal framework under which charities, societies, associations, non-governmental and civil society organizations are governed.

As outlined in the Preamble of Proclamation No. 621/2009, the Charities and Societies Law has two basic objectives, namely, to:

- i. realize citizens' constitutional right to freedom of association and
- ii. enhance and strengthen the role of charities in the overall development of Ethiopia;

According to the Proclamation, the legal definitions for operating CSOs in Ethiopia are as follows:-

1. 'Ethiopian Charities' or 'Ethiopian Societies' shall mean those charities or societies that are formed under the laws of Ethiopia, all of whose members are Ethiopians, generate income from Ethiopia and wholly controlled by Ethiopians. However, they may be deemed as Ethiopian charities or Ethiopian societies if they use not more than ten percent of their funds which is received from foreign sources; (Article 2, sub-art.2 of the CSP)

2. ‘Ethiopian Resident Charities’ or ‘Ethiopian Resident Societies’ shall mean those charities or societies, formed under the laws of Ethiopia and which consist of members who reside in Ethiopia and who receive more than 10% of their funds from foreign sources (Article 2, sub-art.3 of the CSP)
3. ‘Foreign charities’ shall mean those charities that are formed under the laws of foreign countries or which consist of members who are foreign nationals or are controlled by foreign nationals or receive funds from foreign sources (Article 2, sub-art.4 of the CSP)
4. ‘Mass-based societies’ shall include professional associations, women’s associations, youth associations and other similar Ethiopian societies. (Article 2, sub-art.5 of the CSP)

Article 14 of the CSP defines a Charity as “an institution which is established exclusively for charitable purposes and gives benefit to the public”. A distinctive feature of charitable activities is the fact that they are intended to benefit the public.

Article 55 of the CSP defines a Society as “an association of persons organized on non-profit making and voluntary basis for the promotion of the rights and interests of its members and to undertake other similar lawful purposes as well as to coordinate with institutions of similar objectives.”

However, only Ethiopian Charities/Societies can engage in the activities listed under j-n above. In other words, Foreign and Ethiopian Resident Charities are not allowed to work on human and democratic rights, religious, ethnic or gender equality, child rights and the right of disabled persons, conflict resolution and reconciliation, and supporting justice and law enforcement sectors.

The Proclamation has provided for the establishment of an independent body called Charities and Societies Agency (ChSA) to oversee the activities of CSOs, which fall under its scope.

The Agency shall have the following objectives as Article 5 puts it:

- to enable and encourage Charities and Societies to develop and achieve their purposes in accordance with the law;
- to create a situation in which the operation of Charities and Societies is transparent and accountable;
- to ensure that Charities and Societies operate legally;

In addition to the Proclamation and Regulation, the Agency has also issued Directives. These are on:

1. Administration costs and Program costs (70/30)
2. Audit report and activity
3. Charitable committees
4. Charitable endowments
5. Consortium guidelines
6. Income-generating activities
7. Property
8. Public collection

In most developing countries, particularly in Africa, the failure of the State as agent of development and the subsequent disappointment of donors have led to a shift of emphasis in development policy. This policy change calls for a greater participation of the private sector and civil society (of which non-governmental organizations are part) in the processes. (Clark, 2000) In Ethiopia, as is the case of many States, CSOs/NGOs play a significant role in the social, political and economic development of the country. In addition to this, CSOs/NGOs play an important role around crisis and poverty alleviation and engage in activities such as agriculture, conflict management and displacement, HIV/AIDS, integrated rural development, health, education, income generation, information services, refugees, street children, women issues, peace, governance, food security, self-help and youth. (Clark, 2000) The involvement of CSOs in the economic and social life of the country has begun in the early 20th century. Their forceful involvement in the development efforts of the country, however, starts with the drought induced famine of 1973/74 and the recurrence of the 1984/85 drought.

Initially their operations focused on relief that saved millions of lives. However, through time their roles and areas of intervention changed. (CRDA & DPPC, 2004) Until recently, the basic law that was governing the formation and operation of most type of NGOs/CSOs was the 1960 Civil Code of Ethiopia. However, this law was not responsive to the current realities of the sector, as it failed to consider the diversity of profiles among CSOs and contemporary appreciation of their roles in good governance and development; implying the need to reform the legal framework governing the sector. The EPRDF Government has introduced a Charities and Societies Proclamation No.621/2009 on January 6, 2009 and the purpose of this law is to

regulate all domestic and international civil society organizations carrying out activities in the country and it is considered as a primary tool enhancing the transparency and accountability of CSOs. Proclamation 621/2009 has 112 articles and this study focused on Article 88 which states about “Administrative and operational Costs of Charities and Societies”. This articles states “Any charity or society shall allocate not less than 70 percent of the expenses in the budget year for the implementation of its purposes and an amount not exceeding 30 percent for its administrative activities.” ChSA has issued a guideline on determining the administrative and operational costs of CSOs” on July 2011 and this guideline is quoted as the “GUIDELINE FOR DETERMINING THE OPERATIONAL AND ADMINISTRATIVE COSTS OF CSOs, NUMBER 2/2003” and in short as ChSA “70/30 GUIDELINE”. The aim of this study is to assess the challenges and prospects of the 70/30 guideline on the performance of NGOs in general and a case study of FH/Ethiopia which is an international NGO founded in 1971 G.C, incorporated in Geneva, Switzerland.

2.3 Strategy Implementation

Strategy implementation involves organization of the firm's resources and motivation of the staff to achieve objectives. Strategic implementation is about working together and sharing information with each other (Galpin, 1998). The value of any strategy and its potential contributions include increasing productivity, reducing costs, growing profits, and improving service or product quality (Alavi, 1994). Woolridge and Floyd (1990) noted that it can be much easier to think of a good strategy than it is to implement it as much of the shortcomings in the strategy area is attributable to failures in the implementation process rather than in the formulation of strategy itself.

The implementation process involves the collective wisdom, knowledge, and evensubconscious minds of the collaborators. This powerful phenomenon is becoming a requirement to effectively compete in today’s global marketplace (Alavi, 1994; Hills, 1997). Implementing strategies successfully is vital for any organization, either public or private. Without implementation, even the most superior strategy is useless. The notion of strategy implementation might at first seem quite straightforward: the strategy is formulated and then it is implemented. Implementing would thus be perceived as being about allocating resources and changing organizational structure (Beer and Eisenstat, 2000). However, transforming strategies into action is a far more complex and difficult task.

There is currently considerable interest in strategy implementation. Management interest can be gauged from the high levels of attendance at the large number of industrial conferences on the subject. Academic interest is manifest through the considerable number of papers on the topic (Neely, 1999). But this interest is not new. In the late 1970s and 1980s, authors expressed a general dissatisfaction with traditional backward looking accounting based on strategy implementation, identifying their shortcomings and arguing for change. In the late 1980s and early 1990s, this dissatisfaction led to the development of “balanced” or “multi-dimensional” strategy implementation frameworks which placed emphasis on non-financial, external and future looking strategy implementation (Galpin, 1998). They were then quickly followed by the development of management processes specifically designed to give practicing managers the tools to develop or redesign their strategy implementation system. The result has been the publication of alternative balanced strategy implementation frameworks and suggested management processes for the design of performance measurement systems (Beer and Eisenstat, 2000).

Starting in the early 1980s, several frameworks have been developed which are largely conceptual and/or descriptive. The overriding assumption among all these frameworks is that there must be a “fit” among the variables if the implementation process is to be successful. While proposing their frameworks, all scholars emphasize that there are continuous interactions among these variables and it is these ongoing interactions which make implementation possible. Based on a critical review of previous frameworks, ten key variables were identified. These are strategy formulation, environmental uncertainty, organizational structure, culture, operational planning, communication, resource allocation, people, control and outcome. Previous researchers have grouped implementation variables into a number of categories such as “content”, “context”, “process” and “outcome”. Critical analysis reveals that the previous researchers have adopted these groupings mainly from Pettigrew’s works on managing strategic change (Pettigrew et al., 1992). There is no consensus as to which variable should be included in which grouping but there are suggestions made by previous researchers. Previous researchers appear to view strategic content as the overall strategic direction of the company and the need to design new initiatives.

Whereas it is argued that strategies are initiated and implemented in a strategic context and the variables in this grouping support and influence the implementation process; however, they are less controllable than the process variables (Bryson and Bromiley, 1993; Schmelzer, 1992). The operational process variables are seen as those which are primarily used and directly involved in

the implementation process. It is assumed that companies have substantial control over these variables, at least in the short-term. The main difference between the context and process variables is that the latter are primarily used and employed in implementing decisions, while context variables are not primarily used but they are taken account of due to obstacles and problems in the implementation process.

The outcome variables are seen as the expected results of the initiated strategy. Based on these classifications and the review of the characteristics of the individual variables, the key variables were further grouped and a framework was developed which formed the basis of the fieldwork investigation. Strategy implementation has attracted much less attention in strategic and organizational research than strategy formulation or strategic planning. Alexander (1991) suggests several reasons for this including the fact that strategy implementation is less glamorous than strategy formulation which makes people overlook it because of a belief that anyone can do it and people are not exactly sure what it includes and where it begins and ends. Furthermore, there are only a limited number of conceptual models of strategy implementation (Beer and Eisenstat, 2000).

Organizations seem to have difficulties in implementing their strategies. Researchers have revealed a number of problems in strategy implementation: e.g. weak management roles in implementation, a lack of communication, lacking a commitment to the strategy, unawareness or misunderstanding of the strategy, unaligned organizational systems and resources, poor coordination and sharing of responsibilities, inadequate capabilities, competing activities, and uncontrollable environmental factors (Alexander, 1991; Lares-Mankki, 1994).

Pettigrew's (1987) framework for strategic change also sheds some light on the analysis of strategy implementation. Pettigrew distinguishes the content of the strategy, the outer and inner contexts of an organization, and the process in which strategic change is carried out. Pettigrew contends that the content, the context and the process are intertwined and affect one another. This has an important impact on strategy implementation research. In order to understand implementation, which is close to the process in Pettigrew's model, also the content of strategy and the context in which it takes place must be understood.

Another issue influencing the study of strategy implementation is the perspective one has on strategy (Mintzberg, 1978). Implementation means carrying out the pre-determined strategic plans. Strategy emerges and evolves without interventions by the strategic planners, or in spite of them (Mintzberg, 1978). It is believed that in reality some strategies are planned and some strategies just emerge from the actions and decisions of organizational members. Planned strategy and realized or emergent strategy evolve hand-in-hand and affect each other in the process of strategy implementation, where strategies are communicated, interpreted, adopted and enacted (Noble, 1999).

From this perspective it is interesting to study how the strategies and the reality interact with each other through communication, interpretation, adoption and action. If this interaction is successful, the organizational vision may be achieved. When doing research from this view, the scope needs to be broad to grasp both the planning of the strategies and the real work practices through which the strategies come true.

2.4 Theories in Implementation of strategies

2.4.1 Co-evolutionary theory

Lewin and Volberda (1999) indicates that as firms grow and evolve from small to larger and multidivisional organizations, the strategy implementation methods also evolve simultaneously. The various strategy implementation models described by Bourgeois and Brodwin (1984) are meant to meet the changing needs of firms as they evolve through various stages of the organizational life cycle (Parsa, 1999). In contrast to the earlier descriptive models, this model is more prescriptive with an, albeit limited, empirical basis. Their research highlights three of Bourgeois and Brodwin's (1984) classifications of strategy implementation styles: change, collaborative, and cultural.

Not all firms implement their strategies in the same manner; nevertheless, research investigating the differing styles of implementation is scarce. Nutt (1995) utilizes Jungian theory (Jung, 1923) for his framework of implementation style; however, this is very much an analysis of the psychological style of individuals within the firm. More recently, Parsa (1999) utilized Bourgeois and Brodwin's (1984) classification of strategy implementation types.

The majority of extant taxonomy models in strategy implementation tend to be normative in nature (Parsa, 1999). Alternatively, they are developed from organizational observation, and as

such, become context specific and frequently lack any broader theoretical grounding (Hooley et al., 1992). In contrast, Bourgeois and Brodwin's (1984) model is comprehensive, is based on specific theoretical assumptions and has been used by authors such as Parsa (1999). Bourgeois and Brodwin (1984) to refute the traditional approach to strategy implementation as simply an adjunct to the strategy formulation phase of the strategy process. Rather, they contend that strategy implementation evolves either from a process of winning group commitment through a coalitional form of decision-making, or as a result of complete coalitional involvement of implementation staff through a strong corporate culture.

2.4.2 Funding

Recent years have seen a rising involvement of non-governmental organizations (NGOs) in the development process (e.g. Edwards & Hulme 1995, Hulme & Edwards 1997). This phenomenon is partly a consequence of dissatisfaction with government performance in the delivery of public services. As a result, international NGOs as well as bilateral and multilateral donors increasingly seek to channel development funding through local NGOs. Consequently, the NGO sector has grown rapidly in developing countries. What is unclear is whether donors, through their funding, encourage the blossoming of a local charitable sector, or whether local NGOs are nothing but sub-contractors for international development agencies. The general presumption is that NGOs operating in poor countries are charitable organizations, by which we mean that they have an altruistic or philanthropic purpose that is shared by their members and promoters. Much of the dissatisfaction of donors with government public service delivery originates in concerns over corruption. The general sentiment is that civil servants running government schools and health centers are motivated by self-interest, and this explains why they divert resources from the public (e.g. Reinikka & Svensson 2003, Lindelow, Reinikka & Svensson 2003). NGOs, in contrast, are thought to be less selfish and thus less likely to divert funds. The belief in the altruistic motivation of NGOs underlies the switch in donor funding. A number of authors have voiced doubts that the motives of NGO promoters in poor countries are first and foremost charitable (e.g. Edwards & Hulme 1995, Platteau & Gaspart 2003). But these doubts are in general based on a limited number of case studies. There does not exist an investigation of these issues using a large representative sample of NGOs.

2.4.3 Capacity Building

Capacity building is fundamentally about improving effectiveness, often at the organizational level. The term is sometimes used interchangeably with other terms like organizational development, institution building, and funding plus. It is both a verb (the action of building effectiveness, often by improving specific organizational capacities such as infrastructure, operations, financial health, and programs) and a noun (the results of increased attention to effectiveness).

Nonprofit organizations occupy an invaluable niche in a community. These entities provide needed social services, education, health care and the arts that improve the well-being of the community and on which many people depend. The environment in which nonprofits operate has become increasingly complex and challenging as demand for their services increases while their conventional funding streams become more limited, and new technologies emerge that offer new venues for fundraising or interacting with potential and existing supporters.

Capacity building is important because it encourages the leadership of a nonprofit to evaluate their abilities to perform in a complex environment. For example, is the organization missing potential fundraising opportunities by not having a website with the capacity to solicit and receive donations? Should the organization develop its staff so that they can provide a new service that is complementary to their existing array of services? In addition, capacity building is important because the evaluation process coupled with the implementation component help ensure organizational success and sustainability.

According to Krietner (2005) no matter how carefully job applicants are screened, typically a gap remains between what the employee does know and what they should know. An organization which desires to gain the competitive edge in its respective industry, needs among other things, extensive and effective training of its human resources. Training is therefore a key element for improved organizational performance; it increases the level of individual and organizational competences. It helps to reconcile the gap between what should happen and what is happening between desired targets or standards and actual levels of work performance. Although many employers continue to have reservations about the cost and extent of tangible business returns from training, the development of skills has been identified as a key factor in sharpening competitiveness. According to Casio, (1989), the economic and technological trends, the pace of innovation, change and development are growing faster year-by-year and as a result,

provide clear signals that training and development are so relevant that both organizations and individual stakeholders must give a serious attention to.

2.4.4 Effect of Various Staff Capacity building methods in the project

The selection of method for training need to be based on identified training needs, training objectives, an understanding on the part of the trainees, the resources available and an awareness of learning principles. DeCauza *et al.* (1996) explained that the most popular training methods used by organizations can be classified as either on-the-job or off-the-job. On the job training is the most widely used training method, as in comparison, on-the-job method of training is simple and less costly to operate. Observing this method critically, the training places the employee in actual work situations and makes them appear to be immediately productive. The disadvantages are that the senior worker is not usually trained in the skills and methods of training therefore it can be a process that may be time consuming as a new comer struggles to cope with the senior worker's explanations. Far more successful is to use a senior or experienced worker who has been trained in instruction or training method and whose teaching skills are coordinated with a developed program linked to off-the-job courses. Here, there is a close collaboration between trainer and learner. There are three common methods that are used in on-the-job training and these are; learning by doing, mentoring and shadowing and job rotation.

A variety of methods could be adopted to carry out a training needs analysis. Job analysis, interview with managers and supervisors and performance appraisal are few methods commonly used. Despite the available variety of methods, an organization has to be cautious when selecting training methods for its use. A careful use of training methods can be a very cost-effective investment. Although one of the most important stages in the training process, evaluation and monitoring is often the most neglected or least adequately carried out part. Mentoring is another version of the system whereby a senior or experienced employee takes charge of the training of a new employee. This suggests a much closer association than master/apprentice and elements of a father/son relationship can exist whereby the mentor acts as an advisor and protector to the trainee. Here, some of the methods used in the assessment centers include business games, in-basket, simulation, problem-centered cases, and many others, to enable the trainee learn the behaviors appropriate for the job through role-playing. The use of behavior modeling is based on social theory, and it is in particular an effective method for interpersonal or social skills training. This method of training incorporates the use of videos to clearly demonstrate the way things ought to be done, what behaviors are to be avoided.

Behavior modeling is often based on the demonstration of the right and effective way to behave and as a result, trainees are provided with facilities to practice this. Bryn, (1990) asserts that behavior modeling is where target behaviors are selected and videos on each of the behaviors produced, showing competent persons achieving success by following specific guidelines. Key points are displayed on screen and are backed by trainer-led discussions. Learning here is trainer enforced through role play.

Job rotation is another version of training that became popular in the 1970s to help relieve boredom and thereby raise the productivity of shop floor workers. It is a management technique used to rotate incumbents from job to job or from department to department or from one plant to another in different geographical areas. The rotation is done on co-ordinate basis with a view to exposing the executives and trainees to new challenges and problems. It is also aimed at giving executives broad outlook and diversified skills.

2.4.5 Capacity Building Policies

Scores of Literature available on training (Dole, 1985) indicate that traditionally, training in an organization involved systematic approach which generally follows a sequence of activities involving the establishment of a training policy, followed by training needs identification, training plans and programs design and implementation, evaluation and training feedback for further action. Kenney *et al.* (1992:3) makes a point that to enhance employee performance, companies should have different policies for training depending on the class or level of employment or level of employees to be trained. They pointed out that training policies are necessary for the following reasons: To provide guidelines for those responsible for planning and implementing training; to ensure that a company's training resources are allocated to pre-determined requirements; to provide for equality of opportunity for training throughout the company; and to inform employees of training and development opportunities.

For any enterprise to function effectively, it must have money, materials, supplies, equipment, ideas about the services or products to offer those who might use its outputs and finally people, which is the human resource, to run the enterprise. Beer *et al.* (1984) define Human Resource Management as the involvement of all management decisions and actions that affect the nature of the relationship between the organization and its employees-the human resources. According to Beer *et al.* (1984), general management make important decisions daily that affect this relationship, and this leads to a map of human resource management territory, the core of which

they refer to as the four Cs and these are; competence of employees: high competence creates a positive attitude towards learning and development. Commitment of employees: high commitment means that employees was motivated to hear, understand and respond to management's communication relating to the organization of work. Congruence between the goals of employees and those of the organization: higher congruence is a reflection of policies and practices which bring about a higher coincidence of interest among management, shareholders and workers alike. Cost effectiveness of Human Resource Management practices: means that the organization's human resource cost, that is wages, benefits, training and indirect costs such as strikes, turnover and grievances, have been kept equal to or less than those of competitors (Russell, Terborg and Powers,1995).As much as these policies seem to be accurate, they are silent on the elements of budgetary provision and top management support for training. According to Armstrong, (1996), training policies are expressions of the training philosophy of the organization.

2.4.6 Effectiveness of capacity building and Employee Performance

The quality of employees and their development through training are major factors in determining long-term profitability and optimum performance of organizations. To hire and keep quality employees, it is good policy to invest in the development of their skills, knowledge and abilities so that individual and ultimately organizational productivity can increase. Traditionally, training is given to new employees only. This is a mistake as NGO training for existing employees helps them adjust rapidly to changing job requirements. Organizations that are committed to quality invest in training and development of its employees (Evans and Lindsay, 1999) A new hire training program provides a fundamental understanding of the position and how the position fits within the organizational structure. The more background knowledge the new associate has about how one workgroup interrelates with ancillary departments, the more the new associate will understand his or her impact on the organization. Another aspect of a comprehensive employee training program is continuing education. The most effective employee training programs make continuing education an NGO responsibility of one person in the department. This is an important function that will keep all staff members" current about policies, procedures and the technology used in the department. A solid new hire training program begins with the creation of an employee training manual, in either notebook format or online. This manual acts as a building block of practical and technical skills needed to prepare the new individual for his or her position (Psacharopoulos & Woodhall, 1997).

Odekunle (2001) argues that much of today's employee training and reference material belongs online these days in a company Intranet. But, if the organization is not ready to embrace the online world, keep the manuals up-to-date and interesting the quality of training was substandard. When possible, in computer training, visual images of the computer screen (multi-media screen capture) to illustrate functions, examples, and how to should be incorporated.

2.4.7 Capacity Building Evaluation and Performance

Upon checking the effectiveness of training, Kenney (1992) stated that the training program should be reviewed during and after its completion by the training officer, the line manager, and if necessary, by the trainees themselves. Evaluation differs from validation in that it attempts to measure the overall cost benefit of the training program and not just the achievement of its laid down objectives. Hamlin (1974) advocated that until control measures are taken to correct any deficiencies after the training, evaluation has not been completed and thereby ineffective. Evaluation is an integral feature of training, but it could be difficult because it is often hard to set measurable objectives.

Beardwell and Holden (1993) cited some of the methods as follows; questionnaires (feedback forms): this is a common way of eliciting trainee responses to courses and programs. Tests or examinations: these are common on formal courses, especially those that result in certification for instance a diploma in word processing skills

2.4.8 Stakeholders relationship

Stakeholders approach involves inclusion of the charity and society agency (ChSA), the local authorities, the societal organizations, and most importantly the community being upgraded. The approach holds that any program will be based on the premise that all stakeholders are key beneficiaries and therefore the starting point of departure. The reason is that all project activities aim at creating dialogue with the stakeholders and getting the necessary information from them through convenient communication methods (Mikkelsen, 1995).

However, Stakeholders approach has been criticized basically on disadvantages of representation and delegation: involving people who may have limited knowledge of the subject area, slow decision making process and resulting to compromise which do not really represent „best fit“ in any particular way. Acceptance in this approach also relies on trust in those delegated. This approach needs care to ensure that all relevant issues are properly understood. This approach

should allow full range of views and work to be carried out by those with appropriate skills and knowledge to permit project to move forward more rapidly.

Using the Stakeholders approach, studies done in various countries such as El Salvador, Senegal, Zambia and Indonesia have shown remarkable departure from the World Bank's initial project objective of satisfying the lowest 40th percentile (Mitullah, 1985). According to Mamunji (1982), the efforts of slum dwellers should be recognized since they have scarce resources and minimum „standards“ should be applied for them.

The notion of stakeholders was originally introduced to the mainstream general management discussion by Freeman (1984). Two years later, Cleland (1986) brought stakeholder thinking into the project management paradigm. Ever since, the role of stakeholder management as a central project management process has strengthened, and today even the concept of project management is defined through stakeholders as “the process of adapting the specifications, plans, and approaches to the different concerns and expectations of the various stakeholders” (PMI, 2008). Despite the acknowledged importance of stakeholder management, project research still lacks both theoretical knowledge and empirical evidence of various project stakeholder related phenomena (Achterkamp and Vos, 2008). Until today, existing scarce research has primarily focused on the conceptual development of stakeholder management tools and frameworks in order to better manage stakeholders (Winch and Bonke, 2002).

The importance of stakeholder concept is growing in management literature. Stakeholder management is the process of managing the expectation of anyone that has an interest in a project or waseffected by its deliverables or outputs. The application of stakeholder in the public sector seems to be in accordance with the wave new public management (Osborne and Gaebler, 1993). Stakeholder theory and empirical research (Clarkson 1995) indicate that companies do explicitly manage their relationships with different stakeholder groups. Donaldson & Preston (1995) point out that although this is descriptively true, companies appear to manage stakeholders for both instrumental (i.e., performance based) reasons and, at the core, normative reasons. Building on the work of others, Clarkson (1995) defines primary stakeholders as those “without whose continuing participation, the corporation cannot survive as a going concern,” suggesting that these relationships are characterized by mutual interdependence. He includes here shareholders or owners, employees, customers, and suppliers, as well as government and communities. The “web of life” view (Capra 1995) envisions corporations as fundamentally

relational, that is, as a “system of primary stakeholder groups, a complex set of relationships between and among interest groups with different rights, objectives, expectations and responsibilities” (Clarkson, 1995).

Developing initiatives that are capable of achieving all stakeholder goals and objectives may be difficult, if not impossible (Wood & Jones, 1995). This may be the case in certain circumstances, because the interests of all parties are not given equal consideration, with broader social and environmental goals being traded off against economic concerns (Huang & Stewart, 1996). Ford (1980) suggests that companies pursue relationships with other companies to obtain the benefits associated with reducing their costs or increasing their revenues. By entering into relationships, organizations hope to gain stakeholder satisfaction and loyalty while stakeholders look for quality (Evans & Laskin, 1994).

2.5 Empirical review

Kakabadse. (2005) in the extensive review on the stakeholder approach expressed that corporate social responsibility (CSR) and stakeholders' interests are partly related to each other. In line with this, Hillman (2001) noted that a firm has relationships with constituent (stakeholders) groups and the processes and outcomes associated with these relationships depend on the interest. The interests of all legitimate stakeholders have value and the focus of stakeholder theory is on managerial decision making”. Kakabadse *et. al.* (2005), therefore, concluded that managers should pay attention to stakeholders.

A study carried out by Mitchell, (1997) in stake holder identification and salience, it was found that one interesting characteristic of the stakeholder concept is the dynamics of stakeholders. Over time, the mix of stakeholders may change. New stakeholders may join and wish to be included in any considerations, while others may drop out, through no longer being involved in the process. The concept of the dynamics of stakeholders was acknowledged by Freeman, and according to him, in reality stakeholders change over time, and their stakes change depending on the strategic issue under consideration. Alkhafaji also contributed to the understanding of this concept. To explain the dynamics, he defined stakeholders as the „groups to whom the corporation is responsible“. They proposed that classes of stakeholders can be identified by the possession or attributed possession of one or more of three relationship attributes: power, legitimacy and urgency. The influence of the stakeholder in the project depends on the relationship attributes and may affect both timeliness and level of funding.

As an open system, an organization needs resources and has to negotiate with people, groups and other organizations that own these resources. Depending on the importance of these resources to the organization, this process can lead to dependency relationship within which resource suppliers are able to exert their influence over their organization (Pfeffer & salancik, 2008) figures for overall fund allocation and expenditure on road maintenance are notoriously difficult to come by. Maintenance is often not classified as a separate item in the budget or it is listed under the capital investment budget rather than the recurrent budget; budgets for maintenance are often used for improvement; funds may be earmarked for projects which in fact are periodic maintenance activities; different agencies are responsible for different classes of roads; often recurrent budgets do not differentiate between road maintenance and other recurrent activities. Allocations, particularly at the local level, are more difficult to identify. Road maintenance allocations, being part of the recurrent budget, are easily commandeered for other more pressing activities (Donnges, Edmonds, Johannessen, 2007).

The capacity to pay for road maintenance from domestic sources depends on a country's resources. Gross national product (GNP) per capita may thus be a good index of financial capacity, but some governments are able to capture more of it than others. And of the fiscal intake, the allocation to highways is a political decision about national priorities. Variations in income growth also affect funding: severe setbacks in income growth clearly explain some important instances of underfunded maintenance and consequent road deterioration (Clell Harral and Asif Faiz, 1988).

2.6 Critical review of major issue

Despite the concerted efforts of academicians and researchers to identify the various factors affecting successful implementation of projects in Non-Governmental organizations within the urban slums, the research is also limited by the fact that successful implementation of projects is affected by many other moderating factors such as government policies, organization culture and the strategy implementation process.

This study seeks to establish customize local literature focusing on the factors affecting successful implementation of projects in Non-Governmental organizations within the urban slums in Addis Ababa using the case of Habitat for Humanity Ethiopia.

2.7 Challenges in implementing Slum Upgrading

The literature in this first section may not specifically touch on the challenges of slum upgrading programmes or related solutions but it reveals various underlying factors that may influence such challenges. It is also important to note that slums upgrading is not an independent process but involves various interrelated factors on slums livelihoods. This justifies the scrutiny of a wide variety of literature to address such interrelated factors. Sjoberg (1960) conceives slums as an inseparable part of the urban economy and a product of urban stratification. Similarly, Meier (2000) notes that slums fulfill important political, social, and economic functions in the city.

2.7.1 Security of tenure

Many slum upgrading programmes are mainly focused on housing improvements at the expense of other slum livelihoods. This is a challenge that requires urgent address to institute comprehensive slum upgrading interventions. Gong and van Soest (2002) observes that apart from house improvement, slum upgrading should also prioritize the socio-economic improvement of the poor. Leckie (1995) noted that slum upgrading should integrate behavioral aspects of slum dwellers to enhance sustainability. Moser (1996) observes that secure tenure is vital in slum poverty alleviation. A similar observation is made by the Global Campaign for Secure Tenure (www.unhabitat.org/tenure.htm, 2009) which asserts that security of tenure is foundational in the promotion of human rights while UNCHS (Habitat, 1996) recognize home-ownership as a great opportunity towards promotion of identity and freedom. Still on the same perspective, De Soto (1989), notes that bureaucracy is the greatest impediment to acquiring security of tenure. The poor are subjected to long, expensive and exhaustive procedures before they can buy a property or register a business. According to UNCHS Habitat, (2001), effective slum upgrading requires active involvement of the target beneficiaries. Building on this assertion, the United Nations (2001) asserts that political will is essential for a successful upgrading process. Other writers describe transport as core to the livelihood of slum dwellers.

Lack of security of tenure hinders most attempts to improve shelter conditions for the urban poor, undermines long-term planning, and distorts prices for land and services. It has a direct impact on access to basic urban services and on investment at settlement level, and reinforces poverty and social exclusion. It impacts most negatively on women and children. From the point of view of governments, insecure tenure also has a negative impact on the rate of tax recovery through local taxation on property and on economic activities. In addition, without proper

identification of urban services beneficiaries, cost recovery for services and infrastructures is made difficult or impossible (Lasserve, 2006)

According to Ochieng (2001) Security of land tenure is not guaranteed and could impede the improvement of the slums to be better places where slum dwellers can enjoy their rights to good housing conditions. This literature indicate that slums upgrading should go beyond house improvements and incorporate other expressed needs that are key to holistic livelihood such as infrastructure, security of tenure and cultural aspects.

2.7.2 Environmental factors

Environmental factors impeded on the slums upgrading programme by raising the cost of the upgrading (Ochieng, 2001).Van Vliet (2000) describes dumping of waste in the slums as an immense health risk. Slums are also endangered due to the flammable building materials, illegal electricity connections and use of paraffin and charcoal for cooking in overcrowded houses (www.innercitypress.org/icglobal).A study by Ruel et al (1999) shows that the income of construction workers and rickshaw drivers in Dhaka decrease during the rainy season due to flooding. It is then prevalent that effective upgrading should integrate environmental rehabilitation and sustainability as a core intervention in house improvement.

2.7.3 Non state actors

NGOs can be described as necessary evil in the social economic dynamics of the slums. Necessary because they promote the much needed social activism and evil because some are not genuine hence posing a challenge in slum improvement initiatives. Madon and Sahay (2002) asserts that NGOs sector plays a significant role in providing local technical assistance and financial support in the informal sector. According to Fisher (1998), many NGOs cannot deliver since they have been compromised by ruling regimes while non-compliance is punished by denial of registration and heavy taxation. Fowler (1998) supports the agenda of aid de-professionalization by removing the NGOs monopoly in the service delivery and instituting a people based approach. From the forgoing, effective slum upgrading should seek to work with NGOs that are accountable, transparent and that exhibit clear objectives.

2.8 Current slums issues in Ethiopia

One of the latest and extensive resources on slums in Ethiopia is UNHABITAT's 2006 research called "Situation Analysis of Slums settlements in Addis Ababa". So, I will take some chunks from the paper to corroborate our look of Ethiopian slums from a historical and analytical take. The Report says the earliest known display of government interest in influencing the spatial organization of urban life in 20th century Ethiopia dates back to a 1907 proclamation whereby private ownership of urban land became legal in Addis Ababa. Another important historical landmark that deserves mentioning while discussing government responses to urban housing needs in Ethiopia is the difficulties that cities like Addis Ababa have been facing in connection with the short-lived Italian occupation of 1936 to 1941. A few days before the city fell into the hands of the Italian army, patriotic forces destroyed many buildings on purpose, mainly by setting them on fire. On top of that, the production of new dwellings temporarily stopped because the Italians, shortly upon arriving in the city, issued proclamations that forbade "the repair of existing buildings or the erection of new constructions...until further notice". Because of these developments, Addis Ababa faced what seemed to be its first major housing shortage (Bahiru, 1987; Pankhurst, 1987). Furthermore, although they developed the first meaningful – if colonial – master plan for the city, the Italians had no labor policy or housing strategy that could have kept rural to urban migration in check. As a result, the population of the city doubled during the five years of Italian occupation. Although they had plans to erect new residential buildings, ostensibly to accommodate incoming Italian settlers, the occupants failed to achieve even 20 per cent of what they anticipated. The net result of all this is that by the time Italian occupation ended, Addis Ababa was faced with a huge unmet housing demand.

According to UNHABIAT(2006), the famous British planner, Sir Patrick Abercrombie, devised the earliest post-liberation master plan of Addis Ababa in 1956. In 1959, Bolton Hennessy and Partners put out a second post-liberation master plan for Addis Ababa. Addis Ababa was yet to see three further master plans. It fell to the French Architect L. de Marien to propose the last pre-1974 scheme, in 1965. However, like all of its predecessors, this plan focused on physical embellishment and disregarded the pressing social and economic problems of the city. Indeed, this shortcoming was characteristic of all of the master plans prepared by one Italian firm for several other Ethiopian towns in the 1960s.

Let's take a break watching Pussycat Dolls' "Jai Ho" music that was a soundtrack of the movie *Slumdog Millionaire*.

Improving Slums

Marshal (1966) explains that several traditional approaches are developed to deal with the slum problem, including charity measures, public and private services to slum dwellers, and slum clearance. Various methods and policy approaches towards slum improvement have been recommended: negligence, eviction, upgrading, resettlement, and participatory slum improvement and are some of them.

Participatory slum improvement

In this form of slum improvement, the slum residents take the first hand in the improvement of their areas with the government taking the secondary role or participation (UNHABITAT, 2003). Marshal (1966) says recognizing the essential nature of most slum problems; this approach involves developing greater community consciousness, participation in a wider community, and self-help on the part of the slum dweller. Because the approach takes the residents as first hand participants and implementers of the programs with a sense of ownership, the improvement of slums becomes faster and sustainable. Participatory slum development, whereby the slum dwellers take a first hand in their local development, has been the most effective so far. In any matter, slum improvement approaches that take the residents, as first hand participants and owners are likely to succeed.

Trenches of revolutionaries

The Ethiopian government and city admin should recognize slums as integral parts of the urban fabric, especially as regards their role as main suppliers of shelter for the urban poor and moderate-income households, recommended UNHABITAT's report. Based on this understanding to the government must advocate slum improvement more than slum clearance. The latter should be allowed only in exceptional situations and guided by clear and consistent regulations.

Ethiopia or Addis Ababa is not the glittering Bole and its shining complexes; it is the slums of *Gedam Sefer*, *Talayan Sefer*, *Merkato*, *Kera* and so on. These are the secret holes that hide and treat around four million of the Capital's populace. With the aim of "redeveloping" Addis Abeba, the Meles Administration took slum upgrading measures. From the slum improvement methodologies that this writer stated above four of the major ones have been applied so far by the regime so far negligence, eviction, clearance and resettlement. One method that has not been applied so far was participatory slum development. This methodology would have solved most

of the City’s slum problems without annoying many families and social capitals built through decades of mixture and coexistence. The “new government” should consider this slum improvement mechanism. One thing that the upcoming government of multicultural Ethiopian youth could promise our compatriots in these slums of *Adugenet* should be that their slums would only be improved via the Participatory Slum Improvement method.

As has been the experience in many other countries particularly in Egypt, slums dwellers of Al-Me’adessa, home to 150 families, part of a 12 million-strong community of Egyptians living in the sprawling, unplanned slum areas – known as *ashwa’iyat*, have been the galvanizing forces and embracers of the popular revolution that was spearheaded by few intelligentsias such as Wael *Gohanim*. The role of Paris slum dwellers in the French Revolution with the inventory roles of the brilliant minds, of the “Ancien Regime” has been undeniably recognized. Ethiopia’s Gohanim (young activists) are now designing the popular revolution for Ethiopia that would come soon. However, without the participation and mobilization of Addis Ababa’s slum dwellers (entrenched soldiers), the revolution could be futile. Addis Abeba’s slums harbor the poorest, neglected and marginalized part of Ethiopia’s population who are the true pictures of today’s Ethiopia. My fellas from the slums of *Arat Kilo* to the slums of *Cherkos* are highly frustrated with the infuriatingly high cost of living and absence of freedom and democracy; they are in need of some push and initiation that would mobilize them for a popular revolution.

2.9 The Conceptual Framework

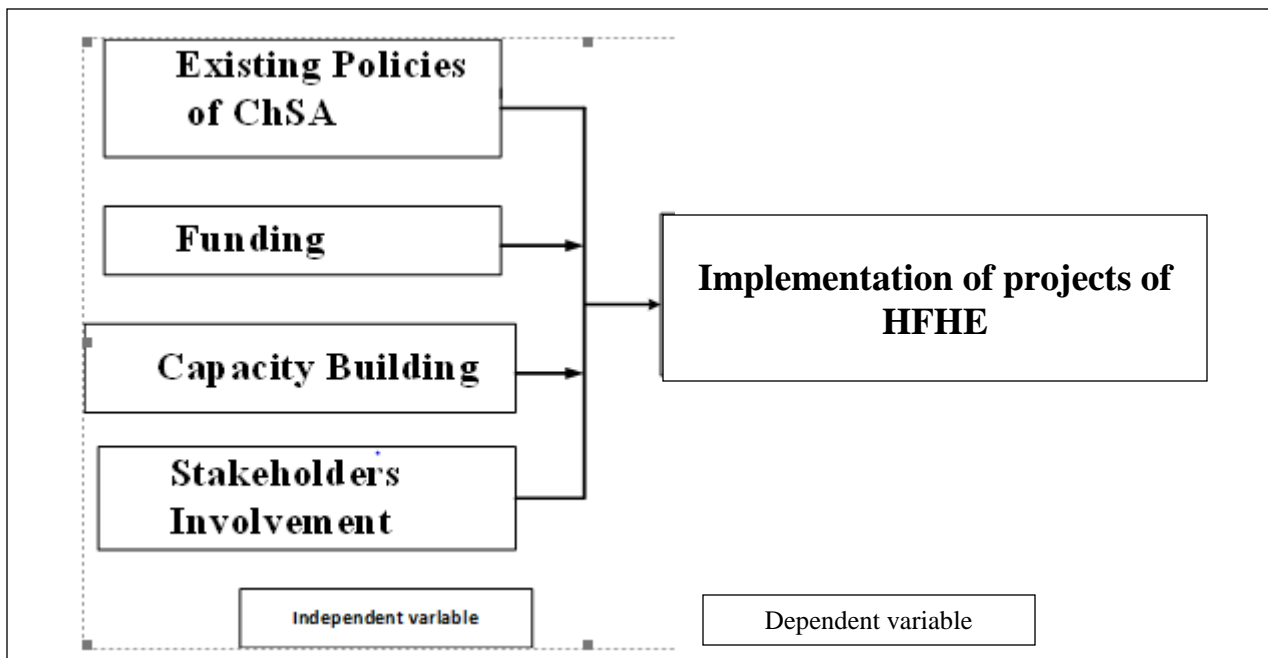


Figure 2: The Conceptual Framework

CHAPTER THREE: RESEARCH METHODOLOGY

3.1 Introduction

A comprehensive research methodology was developed to ensure that objectives of this research design were achieved. According to UNCHS (2001), effective slum upgrading requires active involvement of the target beneficiaries. The Participatory approach also emphasizes that participation is an essential component of successful lasting development will be used. Presented in the chapter are research design, target population, instrumentation, data collection, analysis and presentation.

3.2 Research Design

Descriptive research design has been chosen because this study seeks to determine the factors affecting successful implementation of projects in Non-Governmental organizations within the urban slums in Addis Ababa, Gullele Sub city (Woreda 5 and 6) Sub city project is one of the slum areas where slum upgrading programmes are being undertaken by HFHE. By doing this, the study was building a profile about the factors affecting the successful implementation of projects in NGOs within slums in Addis Ababa urban areas.

3.3 Research Approach

The research was carried out in two phases. In the first phase, secondary research relevant to the research topic was reviewed. These included journals, official reports, books, and some other related information. In the second phase, primary research was conducted. This involved primary data collection techniques through structured questionnaires administration. The main reason why questionnaires were used to measure the dimensions related to different attributes. Data from questionnaire were examined and evaluated statistically.

3.4 Population and Sampling

The most fundamental feature of any study is selecting an appropriate sample for the work under study from which to generate results. By the term sampling, it is selecting a representative group among a population (Kothari, 2004). Advantages of sampling are reduced cost, greater scope, greater speed, and greater accuracy.

The target population for this research study included staffs of HFHE. The sample consisted of 30 staff members of HFHE of slum upgrading project.

According to Krejcie & Morgan (1970) in determining Sample Size for Research Activities a population of 30 a sample size of 28 using this formula:

$$n = \frac{X^2 * N * P * (1-P)}{(ME^2 * (N-1)) + (X^2 * P * (1-P))}$$

Where:
n = required sample size.

X^2 = the table value of chi-square for 1 degree of freedom at the desired confidence level (3.841)

N = the population size.

P = the population proportion (assumed to be .50 since this would provide the maximum Sample size).

ME = the degree of accuracy expressed as a proportion (.05).

$$n = 3.841^2 * 30 * 0.5 * 0.5 / (0.05 * 0.05 * 30) + (3.841^2 * 0.5 * 0.5) = 28$$

3.5 Data Collection procedures

This is the process of gathering relevant data for analysis to make informed judgments. Data gathering was pursued in line with the objectives of the study. With these data different function was analyzed by use of excel, which was competent enough to generate data comparison tables, percentage analysis and graphs (Kothari, 2004). For the purpose of this study, data was collected by the following method: -

Well-structured and validated questionnaires were designed so as to elicit data in accordance with the research questions. Questionnaires had both open and close ended questions. The intense literature study was used to develop the questionnaires. The 28 questionnaires were administered to the respondents by HFHE technical staff in the department of slum upgrading where the researcher then collected them in person. Secondary data was collected from journals as well as books. Questionnaires were used because they are easy to administer, analyze and can be stored for future use. They are also less time consuming and set the respondent free to give the correct information.

3.6 Data Analysis

The collected data was analyzed using both quantitative and qualitative data analysis methods. Quantitative method will involve both descriptive and inferential analysis. Descriptive analysis such as frequencies and percentages were used to present quantitative data in form of tables and

graphs. Data from questionnaire was coded and entered into the computer using Statistical Package for Social Science (SPSS V 20.0). This will involve coding both closed ended items in order to run simple descriptive analyses to get reports on data status. Descriptive statistics involves the use of absolute and relative (percentages) frequencies. For open ended questions, the study will make use of content analysis to analyze. Validity and reliability issues are used for checking quality of instrument.

3.7 Data Presentation

Tables were used in the presentation of data. These were generated from the data collected. They were used to summarize the findings in a logical sequence so as to clearly bring out the relationship between the variables.

3.8 Ethical Issues

Ethics are standards of behavior that guide the moral choices about our behavior and our relationship with others. All parties in research should observe ethical behavior. Research ethics was put into consideration when developing and administering data collection tools and techniques, to avoid any form of destruction or violation. This was done through obtaining consent before the research; ensuring confidentiality of data obtained and learning more about the organization's culture and project before the research and where necessary absolute sensitivity and caution was exercised.

CHAPTER FOUR: DATA ANALYSIS AND PRESENTATIONS OF RESULTS

4.1 Introduction

This chapter outlines the research findings and a discussion of the various responses gathered from the questionnaire. All the questionnaires used to collect information from the staff of the HFHE slum upgrading project; Out of 28 administered questionnaires used to collect information from HFHE urban slum upgrading project, 25 were returned.

4.2 Demographic Statistics

4.2.1 Gender Distribution of the Respondents

The study sought to establish the gender distribution of the respondents. From the findings below, the males made the majority of the respondents at 68% and the females at 32% as shown on Table 1 below:

Table1 Gender of the Respondents HFHE slums upgrading projects

	Frequency	Percent	Valid Percent	Cumulative Percent
Male	17	68.0	68.0	68.0
Valid Female	8	32.0	32.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.2.2 Level of Education of Respondents

Out of the 25 respondents only 8% had achieved certificates in different discipline and 16% having achieved a diploma where as 60% and 16% having attained Bachelor of arts and Masters of Arts respectively as shown on Table 2below: -

The low percentage on certificate may suggest that most of the respondents would not obtain formal employment and hence were on informal unemployment in the organization.

Table 2: Level of Education of Respondents

	Frequency	Percent	Valid Percent	Cumulative Percent
Certificate	2	8.0	8.0	8.0
Diploma	4	16.0	16.0	24.0
BA Degree	15	60.0	60.0	84.0
Postgraduate(MA/M SC)	4	16.0	16.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.2.3 Current Job Title

The study sought to establish the current designation of the employees in the organization. From the findings shown in the table 3 below, majority of the respondents were field officers and project manager. The other positions were only made up of one respondent since they only had one office holder.

Table 3:Current Job Title in the Organization

	Frequency	Percent	Valid Percent	Cumulative Percent
National Director	1	4.0	4.0	4.0
Program Manager	1	4.0	4.0	8.0
Finance & Admin Manager	1	4.0	4.0	12.0
Project Manager	7	28.0	28.0	40.0
Field Officer	15	60.0	60.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.2.4 Period Worked Within the NGO

The study sought to establish that the employees had worked with the NGO. From the findings, majority (64%) of the respondents had worked with the NGO for between 6-8 years, 28% had worked with the NGO for between 3-5 years, 4% had worked with the NGO for less than 2 years and 4% of the respondents had worked above 9 years as shown on table 4below: -

Table 4: Period Worked Within the NGO

	Frequency	Percent	Valid Percent	Cumulative Percent
Less than 2 years	1	4.0	4.0	4.0
From 3 to 5 years	7	28.0	28.0	32.0
Valid From 6 to 8 years	16	64.0	64.0	96.0
Above 9 years	1	4.0	4.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.2.5 Period Worked in HFHE

The study sought to establish that the employees had worked with HFHE. From the findings, majority (44%) of the respondents had worked with HFHE for between 6-8 years, 40% had worked with the NGO for between 3-5 years, 16% of the respondents had worked above 9 years as shown on table 5 below: -

Table 5: Period Worked in HFHE

	Frequency	Percent	Valid Percent	Cumulative Percent
From 3 to 5 years	10	40.0	40.0	40.0
Valid From 6-8 years	11	44.0	44.0	84.0
Above 9 years	4	16.0	16.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.3 Existing policies

4.3.1 Existing policies from ChSA on 30/70 ratio

The study sought to establish existing ChSA policies on 30/70 ratio affected HFHE project implementation. From the findings, 60% answered “yes” while 40% answered “No” as shown on Table 6 below.

Table 5: Existing policies from ChSA on 30/70 ratio affects project implementation

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	15	60.0	60.0	60.0
Valid No	10	40.0	40.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.3.2 To what extent does the organization fulfill the 30/70 ratio rules

The study sought to establish that the organization fulfilled the 30/70 ratio. From the findings, majority (48%) of the respondents had responded that the organization fulfilled the ratio to great extent, 24% moderate extent, 16% less extent and 12% of the respondents to no extent fulfilling the ratio as shown on table 7 below: -

Table 6: Fulfilling the 30/70 ratio rules

	Frequency	Percent	Valid Percent	Cumulative Percent
Great Extent	12	48.0	48.0	48.0
Moderate Extent	6	24.0	24.0	72.0
Valid No Extent	3	12.0	12.0	84.0
Less Extent	4	16.0	16.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

Pros and Cons of the ChSA 30/70 Proclamation

During the interview, the researcher found that most of the respondents had given similar answers as to the pros and cons of the proclamation. Many have pointed out that if proper consultation was held between the government and the CSOs prior to the enactment of the proclamation, disagreements would not have been created in the first place. The fact that these organizations were called to discuss the proclamation after it was enacted they believe was the major cause for the on-going disagreements. The researcher has summarized the findings from the interviews as follows.

Pros of the ChSA Proclamation

With the global fund reducing, the proclamation helps us to learn how to be able to sustain ourselves and decrease the country's dependency on foreign aid. The enactment of the proclamation is one way of showing that the government has given great significance and importance for CSOs, a forgotten and left out sector. And with the creation of an autonomous Agency for the CSO sector, it will help the process of registration and supervision by making it faster and more effective.

Such type of proclamation was needed as a controlling mechanism in order to control embezzlement, corruption etc. Though not all, there were many that were using donor funds for their own interests, so with such measures the moves and the whereabouts of the donor's fund can be easily checked, ensuring that the fund has been allocated to which it was given and reached the beneficiaries intended. And so it is a good mechanism to understand what exactly is being done by the Charities and Societies.

The 70/30 directive, one of the eight directives also helps the government to know exactly what percent of the organizations fund is used for program and administration cost. Thus it helps to focus more on the direct cost incurred to beneficiaries. Further, it has created the possibility of income generation by the Charities and Societies.

Cons of the Proclamation

The size and scope of the operation of charities and societies could be affected as a result of the requirement that those that obtain more than 10% of their funding cannot engage in human rights advocacy and governance. It limits the intervention of CSOs to relief and service provision and this will affect their effective and sustainable engagement process of the country. And those donors that are interested to supporting governance and human rights issues could be discouraged shift to other countries.

The Ethiopian Charities and Societies that had been working on advocacy may through time be downsized and may finally terminate/close their organization or change their objectives due to the lack of fund. And this could be discouraging for the establishment of new Charities and Societies that want to work on right and advocacy. Further the lack of experience in fund-raising activities by the charities and societies aggravates the problem.

The legislation creates a feeling of insecurity and makes it unsure of the roles and future prospects of the Charities and Societies. This is because the unlimited power of the Agency allows unlimited interference which may lead to raise questions about the issue democracy.

4.4 Implementation of Strategies of HFHE

The study sought to establish whether the strategy implementation was undertaken as a collective responsibility of every member of the organization. From the findings 72% answered “yes” while 28% answered “No” as shown on table 8. The respondents indicated that the process of strategy formulation was undertaken by the top management while during implementation, duties were assigned to all employees according to their job descriptions and ability to execute them. This is because the implementation process involves the collective wisdom, knowledge, and even subconscious minds of the collaborators of the organization.

Table 7: Implementation of Strategies

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	18	72.0	72.0	72.0
Valid No	7	28.0	28.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.5 Timeliness in the Implementation of strategies

The study sought to establish whether the strategies were implemented on time. From the findings 60% said Yes while 40% said No as shown on table 9 below. The respondents explained that strategy implementation was influenced by several factors key among them the availability of financial resources to see the strategy implementation to the end. The respondents indicated that at times, the partners delayed in availing the pledged support thus dragging the implementation of strategies in the organization.

Table 8: Timeliness in the Implementation of strategies

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	15	60.0	60.0	60.0
Valid No	10	40.0	40.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.6 Accuracy of Implementation of Strategies

The study sought to establish whether there was accuracy in the implementation of strategies at the Habitat for Humanity Ethiopia. From the findings, 64% said Yes and 36% said No as shown on Table 10. The respondents indicated that the accuracy of strategy implementation was to a great extent influenced by availability of financial and human resources. They indicated that insufficiency of resources reduced the accuracy in implementation. The respondents also indicated that senior management's involvement in strategy implementation increased the level of accuracy in strategy implementation as they clearly knew of the expected outcome and how to get there during strategy formulation.

Table 9: Accuracy of Implementation of Strategies

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	16	64.0	64.0	64.0
Valid No	9	36.0	36.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.7 Implementation of Strategies consistency with the needs of the beneficiaries

The study sought to establish whether strategy implementation at the organization is in line with the needs of the beneficiaries. From the findings, 68% answered “yes” while 32% answered “No” as shown on Table 11 below. For those who answered yes, they indicated that during strategy formulation, they indicated that the strategies were formulated in line with aspirations of the beneficiaries. For those who answered no, they were not involved in strategy formulation hence did not specifically know whether the implementation was consistent with the strategy formulated.

Table 10: Strategies Implementation consistency with the needs of the beneficiaries

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	17	68.0	68.0	68.0
Valid No	8	32.0	32.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.7.1 Stakeholders Involvement in Strategies implementation

The study sought to establish the extent to which the stakeholders were involved in strategy implementation at the organization. From the research findings, 52% said Yes and 48% said No as shown on table 12 below. Stakeholders were key partners in strategy implementation at the organization. Some stakeholders provided funding while others provided technical support hence their involvement was key for the success of project implementation at the organization.

Table 11: Stakeholders Involvement in Strategies implementation

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	13	52.0	52.0	52.0
Valid No	12	48.0	48.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.7.2 Effectiveness of the Process of Strategy Implementation

The study sought to establish how effective the process of strategy implementation at the organization was. From the findings 48% said it was very effective, 32 % said it was effective and 20% said it was moderately effective as shown on table 13 below.

Table 12: Effectiveness of the Process of Strategy Implementation

	Frequency	Percent	Valid Percent	Cumulative Percent
Very effective	12	48.0	48.0	48.0
Valid Effective	8	32.0	32.0	80.0
Moderately effective	5	20.0	20.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.8 Funding

4.8.1 Sufficiency of Financial Support from donors

The study sought to establish whether HFHE got enough financial support from donors for the implementation of its projects. From the findings 72% said yes and 28% said No as shown on table 14. Those who said yes attributed to the degree to which the organization was able to deliver on its strategic objectives.

Table 13: Sufficiency of Financial Support from donors

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	18	72.0	72.0	72.0
Valid No	7	28.0	28.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.8.2 Conditions of the funding

The study sought to establish whether funding availed by the donors had conditions on their applicability and whether no money can be spending outside the budget. From the findings 68% said yes and 32% said No as shown on table 15 below. Like any other NGO, HFHE was guided by a budget which was prepared in advance for the attention of financial partners. The financial partners availed funds as per the budget and as such little could be spending outside the budget. This therefore meant that the expenditure had to strictly follow the budget.

Table 14: Conditions of the funding

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	17	68.0	68.0	68.0
Valid No	8	32.0	32.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.8.3 Effects of Funding on the Implementation of Projects

The study sought to establish the effects that funding had on the implementation of projects at the organization. Several statements were fronted to which the respondents were to indicate their extent of agreement with each statement. The findings, on the question as to whether funding had dictated the kind of projects to undertaken at the organization, on whether funding had slowed

down the speed with which projects were implemented at the organization and on whether funding had limited the scope of the Organization’s projects, the respondent’s responses ranged from moderately agree to agreeing with the various statements.

4.8.4 Extent to Which Funding Had Affected Project Implementation

The study further sought to establish the extent to which funding had affected project implementation at the organization. From the findings, 32% of the respondents indicated that funding affected project implementation to a great extent, 44% to a moderate extent and 24% no extent as shown on table 16 below.

Table 15: Extent to Which Funding Had Affected Project Implementation

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Great Extent	8	32.0	32.0	32.0
Moderate Extent	11	44.0	44.0	76.0
No Extent	6	24.0	24.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.9 Capacity Building

The study sought to establish whether training affected project implementation at the organization. Asked whether the organization’s employees were conversant with their core duties, majority 76% of the respondents indicated that the employees were conversant with their core duties while 24% indicated that the employees were not conversant with their core duties. These findings are well illustrated in the table 17 below. For those who answered yes, they explained that the employees were offered special capacity building which equipped them with the necessary skills to enable them deliver on their job duties. For those who indicated no, they felt that the organization at times asked them to do some duties which were beyond their scope.

Table 16: Staff Capacity building

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Yes	19	76.0	76.0	76.0
No	6	24.0	24.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.9.1 Staff Capacity building on Specialized Skills

The study sought to establish whether the organization trained its staff for specialized skills to equip them with the required skills to deliver on their duties. From the findings below on table 18, 72% of the respondents indicated that the organization offered its employees training on how to run the affairs of the organization while 28% indicated that no training was offered. For those who indicated that some specialized training was offered, they indicated that this was offered through induction process and on the job training where employees worked under someone senior who taught them on what they were supposed to undertake.

Table 17: Staff capacity building on Specialized Skills

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	18	72.0	72.0	72.0
Valid No	7	28.0	28.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.9.2 Effectiveness of the capacity building offered

The study sought to establish how effective the capacity building training offered to staff was. From the findings of the study, 44% of the respondents indicated that it was very effective and again 44% of the respondent indicated moderately effective and 12% said it was effective as shown on table 19.

Table 18: Effectiveness of the capacity building training offered

	Frequency	Percent	Valid Percent	Cumulative Percent
Very Effective	11	44.0	44.0	44.0
Moderately Effective	11	44.0	44.0	88.0
Valid Effective	3	12.0	12.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.10 Stakeholders Involvement

The study sought to establish whether stakeholder's involvement affected project implementation at the organization. From the findings under table 20, majority of the respondents 68% indicated that stakeholder involvement affected project implementation at the organization while 32% said that it did not affect project implementation. The study noted that stakeholder involvement improved the accuracy and speed of project implementation at the organization. Their involvement meant that projects were implemented as planned without delays.

Table 19: Stakeholders Involvement

	Frequency	Percent	Valid Percent	Cumulative Percent
Yes	17	68.0	68.0	68.0
Valid No	8	32.0	32.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

4.10.1 Ways in which the stakeholders were involved

The study sought to establish ways in which the stakeholders were involved in project implementation at the organization. The respondents indicated that stakeholders were involved in different ways. For the beneficiaries, they were involved by accepting to work hard with the resources provided to make sure that they were successful in life. For the donors, they were involved through audits and providing technical support whenever they could to ensure project success.

4.10.2 Extent to which stakeholder involvement affected project implementation

The study sought to establish the extent to which stakeholder involvement affected project implementation at the organization. From the findings, majority of the respondents 36% indicated that it affected to a great extent, 32% to a moderate extent and again 32% very great extent as shown from below table 21.

Table 20: Extent to which stakeholder involvement affected project implementation

	Frequency	Percent	Valid Percent	Cumulative Percent
Very Great Extent	8	32.0	32.0	32.0
Great extent	9	36.0	36.0	68.0
Moderate Extent	8	32.0	32.0	100.0
Total	25	100.0	100.0	

(Source: Own research survey, 2018)

CHAPTER FIVE: SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENATTIONS

5.1 Introduction

This chapter provides the summary of the findings from chapter four, and also gives the conclusions and recommendations of the study based on the objectives of the study. The objective of this study was to determine the factors affecting successful implementation of projects in Non-Governmental organizations within the urban slums in Addis Ababa, Gullele Sub city (Woreda 5 and 6) slum projects using the case of Habitat for Humanity Ethiopia. This study was guided by the following specific research objectives: how existing policy from ChSA 30/70 ratio affect implementation of projects in HFHE, finding out how funding affected implementation of projects of Habitat for Humanity Ethiopia; establishing the effect of capacity building training on implementation of projects of Habitat for Humanity Ethiopia; and establishing the effects of stakeholder relationships on the implementation of projects of Habitat for Humanity Ethiopia.

5.2 Summary of the Findings

The study targeted a sample of 28 respondents out of which 25 filled and returned the questionnaires giving a response of 89.28%. The males made the majority of the respondents at 68% and the females at 32%. Majority (60%) of the respondents had BA Degree, 16% had a Diploma , 16% of the respondents had MA/MSc and 8% of the respondents had certificate. Majority (60%) of the respondents job title was field officers, they are directly working on urban slam upgrading project.64% of the respondents had worked with the NGO for between 6-8 years, 28% had worked with the NGO for between 3-5 years, 4% had worked with the NGO for less than 2 years and 4% each had worked with the NGO above 21 years.

On whether the existing policy from Charity and Society Agency (ChSA) on 30/70 ratio affect project implementation on slum upgrading. 60% answered “yes” while 40% answered “No”. On whether the organizations to what extent fulfill 30/70 ratio rules, majority (48%) of the respondents had responded that the organization fulfilled the ratio to great extent, 24% moderate extent, 16% less extent and 12% of the respondents to no extent fulfilling the ratio.

During the interview, the researcher found that most of the respondents had given similar answers as to the pros and cons of the proclamation. Many have pointed out that if proper

consultation was held between the government and the CSOs prior to the enactment of the proclamation, disagreements would not have been created in the first place. The fact that these organizations were called to discuss the proclamation after it was enacted they believe was the major cause for the on-going disagreements.

On whether the strategy implementation was undertaken as a collective responsibility of every member of the organization, 72% answered “yes” while 28% answered “No”. On whether the strategies were implemented on time, 60% said yes while 40% said No. On whether there was accuracy in the implementation of strategies at the organization, 64% said No and 36% said yes. On whether strategy implementation at the organization was in line with the needs of the beneficiaries at the organization, 68% answered “yes” while 32% answered “No”.

On the extent to which the stakeholders were involved in strategy implementation at the organization, 52% said yes and 48% said No. On how effective the process of strategy implementation at the organization was, 48% said it was very effective, 32% said it was effective and 20% said it was moderately effective. On whether HFHE got enough financial support from donors for the implementation of its projects, 72% said yes and 28% said No. On whether funding availed by the donors had conditions on their applicability and whether no money could be spending outside the budget, 72% said yes and 28% said No.

The effects that funding had on the implementation of projects at the organization. Several statements were fronted to which the respondents were to indicate their extent of agreement with each statement. The findings, on the question as to whether funding had dictated the kind of projects to undertaken at the organization. On whether funding had slowed down the speed with which projects were implemented at the organization. On whether funding had limited the scope of the Organization’s projects. The respondents responses ranged from moderately agree to agreeing with the various funding aspect.

Asked whether the organization’s employees were conversant with their core duties, 76% of the respondents indicated that the employees were conversant with their core duties while 24% indicated that the employees were not conversant with their core duties. On whether the organization trained its staff for specialized skills to equip them with the required skills to deliver on their duties, 72% of the respondents indicated that the organization offered its employees training on how to run the affairs of the organization while 28% indicated that no training was offered. The study sought to establish how effective the training offered to staff was, from the

findings of the study, each 44% of the respondents indicated that it was very effective and moderately effective and 12% said it was effective.

On whether stakeholder's involvement affected project implementation at the organization, majority of the respondents 68% indicated that stakeholder involvement affected project implementation at the organization while 32% said that it did not affect project implementation. The respondents indicated that stakeholders were involved in different ways. For the beneficiaries, they were involved by accepting to work hard with the resources provided to make sure that they were successful in life. For the donors, they were involved through different reports and providing technical support whenever they could to ensure project success. On the extent to which stakeholder involvement affected project implementation at the organization, majority of the respondents 36% indicated that it affected to a great extent, each 32% to a moderate extent and to a very great extent.

5.3 Conclusions

It can be concluded from the findings of this research that the proclamation has indeed directly affected the organization. However, with the participation of Charities and Societies rapidly increasing, the previous laws the country was been working with could not support the activities and efforts of the Charities and Societies and take the necessary measure against those who breach and violate the law, due to gaps in the previous laws.

The existing policy from Charity and Society Agency (ChSA) on 30/70 ratio affects project implementation on slum upgrading according the respondents the rules on 30/70 ratio affects the project implementation. Strategy implementation was undertaken as a collective responsibility of every member of the organization. The respondents indicated that the process of strategy formulation was undertaken by the top management while during implementation, duties were assigned to all employees according to their job descriptions and ability to execute them. This is because the implementation process involves the collective wisdom, knowledge, and even subconscious minds of the collaborators of the organization.

The study also established that the strategies were implemented on time. The respondents explained that strategy implementation was influenced by several factors key among them the availability of financial resources to see the strategy implementation to the end. The respondents indicated that at times, the partners delayed in availing the pledged support thus dragging the implementation of strategies in the organization. The study also established that strategy

implementation was accurate. The respondents indicated that the accuracy of strategy implementation was to a great extent influenced by availability of financial and human resources. They indicated that insufficiency of resources reduced the accuracy in implementation. The respondents also indicated that senior management's involvement in strategy implementation increased the level of accuracy in strategy implementation as they clearly knew of the expected outcome and how to get there during strategy formulation. The study also established that project implementation was consistent with the needs of the beneficiaries. The respondents indicated that during strategy formulation, strategies were formulated in line with aspirations of the beneficiaries. The study also established that project implementation at the organization was very effective. This shows the extent to which the organization received funding to run its projects. Funding affected project implementation at the organization to great extent.

The study concludes that the organization trained its staff for special skills to enable them deliver on their job descriptions. Respondents indicated that some specialized training was offered, they indicated that this was offered through induction process and on the job training where employees worked under someone senior who taught them on what they were supposed to undertake.

The study also concludes that stakeholder's involvement affected project implementation at the organization. The study noted that stakeholder involvement improved the accuracy and speed of project implementation at the organization. Their involvement meant that projects were implemented as planned without delays. The stakeholders were involved in different ways. The study also established that stakeholders were involved in strategy implementation. Stakeholders were key partners in strategy implementation at the organization. Some stakeholders provided technical support hence their involvement were key for the success of project implementation at the organization.

5.4 Recommendations

In a developing country like Ethiopia, the contribution of CSOs is highly important. The participation of civil society may be expressed in various ways and through diverse forms of organizations. One of the most important purposes of civil society is to provide those social and economic services that are not provided by the public or the private sectors.

The study also recommends that the organization should be in line with the existing policies of ChSA 30/70 ratio by minimizing administration cost and utilizing budget on program or

operational cost, this will help the organization to respect the rules. This will ensure that the ChSA will give credit for renewing of license for the organization to work in Ethiopia. The effect of the 70/30 on Consortiums should also be reviewed again by ChSA.

The study recommends that the organization engages the stakeholders more to harmonize its goals and objectives with the aspirations of the stakeholders and reduce dissonance levels thereby increasing satisfaction. This will ensure that the stakeholders support the activities of the organization.

To enable employees deliver quality services, the study recommends that the organization hires qualified staff and in addition, it trains them to enable them deliver services optimally. Following the unique operations and accounting for NGOs, it is important that staffs are trained on the operations for timely project implementation.

The study recommends that the organization involves stakeholders in all its strategic management right from strategic formulation to strategic evaluation. This will reduce the levels of resistance hence promote strategy implementation processes.

5.5 Suggestions for Further Study

This study concentrated on factors affecting project implementation at the Habitat for Humanity Ethiopia. The study centered on key factors in the NGO sector. To allow for generalization, this study recommends that another study be carried out to establish factors affecting project implementation in other organizations.

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Appendices

Addis Ababa University School of Commerce Masters of Art in Project Management

Dear Participants: -

My name is **Bereket Mekonnen**, I am MA student in Project Management at Addis Ababa University School of Commerce. As part of my MA project work, Currently, I am conducting a research as partial fulfillment of the requirements for the Master's Degree in Project Management (MPM). The topic of the research that I am conducting is "**Factor affecting successful implementation of urban slum upgrading project of HFHE in Addis Ababa: The case of HFHE project**".

I kindly request you to participate in this research study by completing the attached questionnaire. In order to ensure that all information will remain confidential please do not include your name. As well I sincerely request you to respond to the questions as honestly as possible and return the completed questionnaires. Knowing that your time is valuable please, please take few minutes of your time to complete the questionnaire. Thank you in advance for your time and assistance. Please do not hesitate to contact me, should you require further clarification.

Yours faithfully!

Appendix I: Questionnaire

Please tick as appropriate

SECTIONA: Demographic Information:

1. Gender

- A. Male B. Female

2. Level of Education

- A. Certificate B. Diploma
C. BA Degree D. Postgraduate (MA/MSc)

3. What is your current designation within the organization?

- A. National Director D. Project Manager
B. Program Manager E. Field Officer
C. Finance & Admin Manager

4. How many years have you been in the NGO sector?

- A. Less than 2 Years C. 6-8 Years
B. 3-5 Years D. Above 9 years

5. How many years have you been at HFHE?

- A. Less than 2 Years C. 6-8 Years
B. 3-5 Years D. Above 9 years

SECTIONB –ChSA EXSTING POLICY AND PROCLAMATION

6. Does existing policies from charity and Society Agency on 30/70 ratio affect project implementation at the organization?

- Yes No

Please explain your answer

7. To what extent does the organization fulfill 30/70 ratio policy?

- | | | | |
|----------------------|--------------------------|-----------------|--------------------------|
| A. Very Great Extent | <input type="checkbox"/> | B. Great Extent | <input type="checkbox"/> |
| C. Moderate Extent | <input type="checkbox"/> | D. No Extent | <input type="checkbox"/> |
| E. Less Extent | <input type="checkbox"/> | | |

8. What do you think are the pros and cons of this proclamation?

9. What possible recommendations would you like to forward to the Government or to the Charities and Societies Agency on things that you would like to see changed/improved and how would you suggest they undertake it?

10. What are the major challenges about 70/30 policy program and administration costs category at your Organization?

SECTIONC - IMPLEMENTATION OF STRATEGIES OF HABITAT FOR HUMANITY ETHIOPIA

11. The process of strategy implementation is taken as a collective responsibility of every member of the organization.

- Yes No

Please explain your answer

12. The organization has always implemented strategies on time.

Yes No

Please explain your answer

13. The process of implementing strategies at the organization has been accurate.

Yes No

Please explain your answer

14. Strategies implementation at the organization is in line with the needs of the beneficiaries

Yes No

Please explain your answer

15. Strategies implementation includes all stakeholders of the organization?

Yes No

Please explain your answer

16. How effective is the process of strategy implementation at the organization?

A. Strongly Agree	<input type="checkbox"/>	B. Agree	<input type="checkbox"/>
C. Neutral	<input type="checkbox"/>	D. Strongly Disagree	<input type="checkbox"/>
E. Disagree	<input type="checkbox"/>		

17. What in your opinion affects the implementation of various slum programmes in HFHE?

SECTION D: FUNDING

18. Does the HFHE get enough financial support from donors for the implementation of its projects?

Yes

No

Please explain your answer

19. The funding availed by the donors have conditions on their applicability and no money can be spending outside the budget?

Yes

No

Please explain your answer

20. Below are some of the effects of funding on the implementation of projects at the HFHE. On a scale of 5-1 where 5= Strongly agree, 4= Agree, 3= Neutral, 2= Disagree and 1= Strongly disagree, please indicate by ticking (√) the extent of your agreement with each description.

Description	5	4	3	2	1
Funding has dictated the kind of projects to undertaken at the organization					
Funding has slowed down the speed with which projects are implemented at the organization					
Funding has limited the scope of the organization's projects					

21. In general, please indicate the extent to which funding has affected project implementation at the organization.

A. Very Great Extent

B. Great Extent

C. Moderate Extent

D. No Extent

E. Less Extent

SECTION E – TRAINING

22. The organization’s employees are conversant with their core duties?

Yes No

Please explain your answer

23. The organization trains its staff of specialized skills to equip them with the required skills to deliver on their duties.

Yes No

Please explain your answer

24. How effective have the trainings been in equipping the employees at the organization with the necessary to deliver on their jobs?

A. Very effective	<input type="checkbox"/>	B. Moderately effective	<input type="checkbox"/>
C. Effective	<input type="checkbox"/>	D. Less effective	<input type="checkbox"/>
E. Not effective	<input type="checkbox"/>		

SECTION F- STAKEHOLDERS INVOLVEMENT

25. Does stakeholder involvement affect project implementation at the organization?

Yes No

Please explain your answer

26. To what extent does stakeholder involvement affect project implementation at the organization?

A. Very Great Extent	<input type="checkbox"/>	B. Great Extent	<input type="checkbox"/>
C. Moderate Extent	<input type="checkbox"/>	D. No Extent	<input type="checkbox"/>
E. Less Extent	<input type="checkbox"/>		

Please explain your answer

27. What can be done to ensure effective stakeholder involvement in future?
