FACTORS INFLUENCING PERFORMANCE OF MONITORING AND EVALUATION SYSTEMS IN NON-GOVERNMENTAL ORGANIZATION PROJECTS: A CASE OF AGA KHAN FOUNDATION IN NAIROBI, KENYA

PETER MAINA KAMAU

A Research Project Report Submitted in Partial Fulfillment for the Award of the Degree of Master of Arts in Project Planning and Management at the University of Nairobi

2017

DECLARATION

This research project report is my original work and has not been presented for award of a degree in any other university.

Signature: _____   Date: _____

Peter Maina Kamau

L50/60460/2010

This research project report has been submitted for examination with my approval as the university supervisor.

.

Signature: _____   Date: _____

Dr. Luketero Stephen Wanyonyi,

Senior Lecturer,

School of Mathematics,

University of Nairobi

DEDICATION

This research work is dedicated to my sons Danny, Jason and Jamie. My heartfelt gratitude to my beloved wife Mendi and sons for the period they endured without me as I undertook my study and preparation of this project.

ACKNOWLEDGEMENT

A lot of credit goes to my supervisor Dr. Luketero Wanyonyi without whom the completion of this work would not have been possible. Sincere thanks to him for his input and advice.

With immeasurable appreciation, special mention goes to University of Nairobi, Department of Extra-Mural and Distance Learning, Faculty of Continuing and Distance Education. My able lecturers were gifted and knowledgeable.

In addition, I wish to also acknowledge the respondents of my research work for their immense contribution to the completion of the project.

TABLE OF CONTENT

LIST OF TABLES

LIST OF FIGURES

ACRONYMS AND ABBREVIATIONS

AKF   Aga Khan Foundation

INGOs   International Non-Governmental Organizations

M&E   Monitoring and Evaluation

NGOs   Non-Governmental Organizations

NACOSTI   National Commission for Science, Technology and Innovation

SPSS   Statistical Package for Social Sciences

SSA   Sub-Saharan Africa

UNAIDS   United Nations Programme on HIV/AIDS

UNDP   United Nations Development Programme

ABSTRACT

Studies and literature prove that Monitoring and Evaluation systems in NGOs and INGOs in developing countries and in Kenya in particular, are not performing satisfactorily. In an endeavor to come up with recommendations of adopting a result-based M&E system, the purpose of this study was to analyse the factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation Nairobi, Kenya. The objectives of the study included: to find out the influence of staff training in Monitoring and Evaluation on the performance of Monitoring and Evaluation systems, to establish the extent to which level of funding influences the performance of Monitoring and Evaluation systems, to establish how adherence to corporate governance practices influence the performance on Monitoring and Evaluation systems, and the influence of selection of tools and techniques for Monitoring and Evaluation on the performance of Monitoring and Evaluation systems, respectively. The study was guided by Theory of Change by Carol Weiss. A descriptive survey design was employed. The target population of this study consisted of 5 programme employees/managers and 25 Monitoring and Evaluation staff. The study adopted a census survey by using all the 30 respondents who constitute the target population. A semi-structured questionnaire and a semi-structured interview guide were designed to collect data from the respondents. Data collected from field work was subjected to both quantitative and qualitative analysis techniques quantitatively; the data was analyzed using the Statistical Package for Social Sciences (SPSS), version 22. Specifically, descriptive analysis was used for the numeric data and results presented using frequency distribution tables and figures. Interpretations from the analysis were then given. For qualitative data, content analysis was used for the purposes of classification and summarization. Basic level or the manifest level was used in reporting qualitative data. The findings of this study will be significant to the stakeholders of various organizations, Government Public Sector, Donors, county government, Ministry of devolution, and the communication sector.

CHAPTER ONE

INTRODUCTION

1.1 Background of the Study

Monitoring is defined as the purposeful and systematic collection of information from projects and programmes for four main purposes as written in (World Bank, 2005), to learn from obtained past experiences to improve practices and activities in the future (Ben, 2002), to have internal and external accountability of the resources used and the results obtained, to take informed decisions on the future of the initiative and to promote empowerment of beneficiaries (John & Khilesh, 2008). Evaluation is the objective and systematic assessment of a completed project or programme (or a part of an ongoing project or programme that has been completed). Evaluations serve the purpose of appraising data and information that inform strategic decisions, thus improving the project or programme in the future (Yang, Sun & Martin, 2008). From the point of view of Pfohl (2006), evaluations should help to draw conclusions about five main aspects of the intervention: relevance, performance, efficiency, impact and sustainability.

The role of non-governmental organizations (NGOs) in development cannot be underrated. In the past three decades, globalization and democratization, especially in developing countries, have brought about many unexpected changes in the assumed role of governments. Part of this has been the role and rise of NGOs that have grown in number and power to fill services that governments are either unable or unwilling to provide (Lehman, 2013). In recent years, the recognition of the work of NGOs in society has increased. They are viewed by many official agencies and members of the public as more efficient and cost-effective service providers than governments, giving better value-for-money, especially in reaching poor people (Meyer, 2012; Sollis, 2013; Vivian, 2014).

The Monterrey Consensus in 2002, the 2005 Paris Declaration of Aid Effectiveness, and the subsequent Accra Agenda for Action in 2008 all point to the high priority of development performance (Mouton, 2010). Although Monitoring and Evaluation (M&E) is a nascent field in Africa, the international agreements promoting aid performance and accountability together with the increased importance for NGOs operating in Africa to

demonstrate results and the requirement of host governments in regulating NGOs has led to the appreciation and recognition of the role of M&E in the development agenda.

Additionally, the growing concern over the performance of aid has led donors attaching conditions to funds, here under expectations that NGO's demonstrate results, performance and accountability. As requirements for funds grow stricter and the emphasis on management practice and demonstrable results increases, NGO's have been forced to demonstrate their impact through development of comprehensive monitoring and evaluation systems. Besides the donors, the project beneficiaries and host governments in Africa are also putting pressure on the NGOs and other members of the civil society to show the impact of their work and relevance (Lehman, 2013).

Taking into consideration that there are no standards or legal rules for NGOs transparency at international level and also what is done in other sectors, most African NGOs are adopting voluntarily mechanisms of accountability that are drawn up by external agents (Paton & Foot, 2012) or by peer organizations (Szper & Prakash, 2011). In addition, most African States have been in the process of developing regulatory frameworks that govern how the NGO operate with good examples of Kenya, Uganda and Zimbabwe. Murtaza (2011) noted that there are several justifiable reasons for the global need of NGO transparency: its representativeness and contribution to the society, the doubtful quality of NGO's projects, and particular cases of abuse of power in recent years.

A lot of NGOs are facing challenges in the conduct of evaluations as well as in the utilization of best practices and lessons learned from the evaluation reports to change their operational practices. To put to use the evaluations requires a purposeful and designed educational investment that most NGOs are not able to implement owing to financial challenges, staff shortages or pressure from donors. In addition, most NGOs that are capable of performing accurate and meaningful evaluations still face challenges in incorporating the lessons obtained from the evaluations into their operational practices. Evaluation presents most organizations with challenges; correcting those problems requires the NGO to undergo the "painful" process change that includes theoretical,

methodological, and practical challenges (Askari, 2011). Additionally, evaluations bring out weaknesses of the operational process and practices of NGOs, information that could potentially be harmful to an organization's ability to attract and maintain donors. Despite these challenges, evaluation is necessary for NGOs to promote development and decrease poverty in all its forms; however, it is only a worthwhile activity when the knowledge obtained is applied (Murtaza, 2011).

Technology is a major player in the role of monitoring and evaluation of NGO projects, where organizations are collaborating with NGOs to use paperless data collection processes (monitoring) through smart phones, where they have introduced mobile data monitoring and evaluation of projects. In Kenya, a web-based monitoring and evaluation (M&E) systems was developed for NGOs by Academy for Education Development (AED) and Advantech Consulting with funding from Rockefeller Foundation, which was launched in 2012. The main aim of the system was to allow NGOs to efficiently monitor and keep track of their activities and targets. This system was meant to assist the NGOs be able to engage with the Aid agencies (Chesos, 2010).

In Kenya, NGOs are faced with several challenges in addition to inability to resourcefully respond to changing needs. The Kenya social protection sector review (2012), states that the monitoring and evaluation of social programmes in Kenya is weak, and where it is done, the information is not publicised. In addition, most NGOs do not have the ability to hire skilled M&E professionals and ICT staff who understand M&E systems and are able to develop appropriate tools; hence they end up with substandard M&E systems that don't meet either the managerial or donor needs (Chesos, 2010). The study by Koffi-Tessio (2002) also shows that M&E systems are not meeting their obligatory requirements as decision making tool; instead their activities are viewed as controlling by a bureaucratic management. M&E is also viewed as a donor and not a management requirement (Shapiro, 2011). The poor acquisition of the appropriate M&E systems by NGOs is also attributed to the organizations over emphasis on the physical infrastructure rather than methodological and conceptual training (Koffi-Tessio, 2002).

In a study, Jaszczolt, Potkanski and Stanislaw (2010) in their recommendations emphasized that NGOs need to be educated on M&E through handbooks in order to increase quality, establishment of a national professional association of evaluators to aid in developing technical skills among the M&E specialists, as well as develop a widely accessible depositor for evaluation reports in order to learn from previous experiences. Likewise, the Public Benefit Organization Act, 2013 first 21 schedule, part II section 13 on monitoring, evaluation and reporting, calls for the organizations to work together through result-based management in order to meet the needs of their beneficiaries, develop transparent reporting policies and develop and use tools for M&E for development and impact of their work. They are also required to evaluate progress and success they have achieved annually (Republic of Kenya, 2013).

1.1.1 Aga Khan Foundation, Kenya

Kenya adheres to the Paris Declaration on Aid Effectiveness 2005 (Mouton, 2010). There has been considerable progress in implementing aid performance principles, particularly donor harmonization through the Kenya Joint Assistance Strategy 2007–2012, which was signed by 17 bilateral donors, the World Bank, the African Development Bank, and the United Nations. This strategy also aligns with the Government of Kenya's Vision 2030, as well as Aga Khan Foundation.

The Aga Khan Foundation (AKF) in Kenya is closely aligned with Kenya's long-term national planning strategy, officially known as Kenya Vision 2030. AKF focusses on four thematic areas: rural development, health, education and civil society. Its activities are intended to improve the quality of life of beneficiary communities by assisting in the struggle against hunger, disease, illiteracy, ignorance and social exclusion. The Foundation supports public sector accountability and citizens' engagement to improve the delivery of public services to Kenyans. The Aga Khan Foundation, alongside its sister agencies, has implemented innovative, community-driven solutions to development challenges for more than 45 years. It focusses on a small number of specific development problems by forming intellectual and financial partnerships with organizations sharing its objectives.

Monitoring and Evaluation has in the recent become a necessary requirement for projects. This is evident from the many advertisements for M&E experts and request for expression of interest for M&E consultants in the local dailies (Chesos, 2010). Given the diversity of the sectors that AKF deals in, and that in Kenya, NGOs are faced with several challenges in addition to inability to resourcefully respond to changing needs as evidenced in the background, this study will analyse the factors influencing performance of monitoring and evaluation systems in Aga Khan Foundation, Nairobi, Kenya.

1.2 Statement of the Problem

Building a resulted based M&E system is a requirement by the growing pressure to improving performance which is also one of the requirements by the NGO and donors to check on the effective use of the donor funds, impact and benefits brought by the projects. Hence there is a need for establishment of rules for constructing minimum parameters for monitoring and evaluation for projects that can be used to track progress and effectiveness (Lehman, 2013). Monitoring and evaluation, although very essential in improving performance, is also very complex, multidisciplinary and skill intensive processes (John & Khilesh, 2008). Research also shows that the foundation for evaluation is being built in many developing countries (Meyer, 2012; Sollis, 2013; Vivian, 2014). Consequently, with the growing global movements to demonstrate accountability and tangible results, many NGOs in Kenya are expected to adopt results-based M&E systems in the future, due to the international donors focus on development impact (Republic of Kenya, 2013).

Studies and literature laid down in the background of this study shows that the M&E systems in NGOs in developing countries and in Kenya in particular, are not performing satisfactorily. They are facing challenges that are contributing to their insufficiency which calls for intervention. It is from this backdrop that the researcher was prompted to conduct a study to look at the existing M&E systems, used by an international NGO operating in different sectors within Kenya, in regard to factors affecting the performance of M&E systems in a bid to recommend on how to adopt a result-based M&E system that is more effective and efficient for NGO projects. Therefore, this study analyzed the

factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation, Nairobi, Kenya.

1.3 Purpose of the Study

The purpose of this study was to analyze the factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation, Nairobi, Kenya.

1.4 Objectives of the Study

The following were the specific research objectives that guided the study:

i. To determine how staff training influences performance of M&E systems at Aga Khan Foundation, Nairobi, Kenya.

ii. To establish the extent to which level of funding influences the performance of M&E systems at Aga Khan Foundation, Nairobi, Kenya.

iii. To determine how adherence to corporate governance practices influences the performance of M&E systems at Aga Khan Foundation, Nairobi, Kenya.

iv. To find out the extent to which the selection of M&E tools and techniques influences the performance of M&E systems at Aga Khan Foundation, Nairobi, Kenya.

1.5 Research Questions

The following were the research questions that guided this study:

i. How does staff training influence the performance of the M&E systems at Aga Khan Foundation, Nairobi, Kenya?

ii. To what extent does level of funding influence the performance of the M&E systems at Aga Khan Foundation, Nairobi, Kenya?

iii. How does adherence to corporate governance practices influence the performance of the M&E systems at Aga Khan Foundation, Nairobi, Kenya?

iv. To what extent does selection of M&E tools and techniques influence the performance of M&E systems at Aga Khan Foundation, Nairobi, Kenya?

1.6 Significance of the Study

This study is significant to local, national and international NGOs, and stakeholders in the Government of Kenya, involved in the implementation of diversified projects in basic education, women's political participation, conflict prevention, electoral systems, public financial management, and community participation in Kenya. The information gained may be used to improve and eliminate factors that hinder the implementation of effective M&E systems in NGOs. In addition, such information may also be used to provide input to appropriate designs in M&E of future projects and programmes in international NGOs in Kenya.

To the Aga Khan Foundation, Nairobi, Kenya, the findings of this research may enhance their insights on factors that hinder them from achieving maximum performance of M&E systems in the organization. The information obtained may stimulate their need for active participation in designing practical and valuable M&E systems to enhance sustainability. To private sector such as donors, financial institutions and individuals involved in funding projects through the Foundation, the information obtained will shed some light on other factors rather than funding that are critical to completion of envisaged projects. Incorporation of such data in future M&E system prospects may lead to viable projects.

Further, the study intended to highlight other important relationships that require further research. As such, the results of this study may be vital to researchers and scholars, as it would form a basis for further research. Therefore, this study will be a reference material for future researchers on similar and other related studies.

1.7 Limitations of the Study

Some of the respondents especially the non-management staff in Aga Khan Foundation, Nairobi, were reluctant to provide information about the organization. They were afraid to elaborate on explanations sought in the questionnaires because of fear of being victimized by the management if they gave negative information about the organization. However, this was countered by the researcher assuring the respondents that their names would be kept anonymous and that the information provided would be treated with utmost confidentiality and committed for academic purpose only.

Some of the Respondents, especially the management staff of Aga Khan Foundation, Nairobi, were reluctant in providing and granting access to relevant information due to fear that their weaknesses or ineffectiveness in M&E systems would be leaked to the public. The researcher overcame this limitation by clearly explaining the purpose of the study and the envisaged significance of the findings gathered in attaining maximum performance of M&E systems in the organization.

1.8 Delimitations of the Study

To ease on target population, the study only considered or was delimited to programme managers and Project/ M&E staff responsible for the diversified projects in education, rural development, civil society and health. AKF's activities are intended to improve the quality of life of beneficiary communities by assisting in the struggle against hunger, disease, illiteracy, ignorance and social exclusion. The expensive time taken in data collection was delimited by use of survey monkey software. Prior to data collection, the respondents were requested to be responsive. The respondents were assured that the results of the study would be treated with confidence and that the information would be applied for better use of M&E systems. Further on the issue of inaccuracy of responses obtained from the respondents, this was delimited by application of expert judgement in the preparation of research instruments to ensure that the research questions were well captured and piloting was used to identify any items in the questionnaire that were ambiguous or unclear to the respondents and changed effectively.

1.9 Basic Assumptions of the Study

The study was guided by the following assumptions: that the information gathered from AKF could be used to portray generally, the state of M&E systems in international NGOs in Kenya. The study would generally give a clear picture on the factors influencing performance of monitoring and evaluation systems in Aga Khan Foundation, Nairobi, Kenya. Consequently, the population under study would remain constant during the project process. The study results passed the threshold and proved valid to draw inferences from as portrayed in chapter four of this study.

1.10 Definitions of the Significant Terms of Study

Corporate governance   refers to the application of tools and techniques in planning, financing, implementation, controlling and coordination of activities in order to achieve the desired results according to project goal(s) and within the constraints of time and cost.

Monitoring and Evaluation refers to the process of steadily collecting and analyzing data of ongoing project and comparing the project outcomes or impact to the envisaged results with a view of improvements.

M&E System   refers to a set of strategies and tools that are interrelated and serve a common purpose of tracking the implementation and results of a project.

Non-governmental organization refers to an association of a group of individuals or bodies on a voluntary basis, not for profit or commercial purposes, but for the benefit of the public through promotion of social welfare.

Performance   refers to success of producing a desired or intended result after tracking the implementation and results of a project.

Project   refers to a specific activity that is not meant for profit or commercial purposes, but for the benefit of the public through promotion of social welfare, which consumes resources and has a beginning and an end.

Tools and Techniques   refers to the methods and procedures used to meet the needs in tracking the implementation and results of a project.

Training   refers to the attainment of valuable expertise that enhance the outcomes in projects by improving staff skills in tracking the implementation and results of a project.

1.11 Organization of the study

This study is organized in five Chapters. The first section of the document is the first Chapter of the study. It gives a background that introduces the purpose for this research; hence indicating the statement of the problem. Discussed in Chapter one also is the importance of this study to local, national and international NGOs, and stakeholders in the Government, to the Aga Khan Foundation (AKF), as well as to the researchers. The Chapter identifies the objectives and research questions and states the constraints that are anticipated throughout the research process and ways to overcome them. Further, the operational defining of the various significant terms in the context of this study is done in the chapter.

Chapter Two reviews the available literature related to the research topic so as to build on the conceptual framework and identify gaps in knowledge. The Chapter provides the conceptual framework showing how Independent variables relate to Dependent variable.

Chapter Three presents the research design and methodology. These are the techniques that the researcher employed for the study to achieve its purpose. The Chapter comprises of the research design, target population, sampling procedure and sample size, research instruments, validity and reliability and data analysis procedures. Further, operational definition of variables is covered in this chapter so as to give a concept on how the variables were measured. Chapter Four entails data collection, analysis, presentation and interpretation. Chapter Five is a summary of findings, discussions, conclusions and recommendations.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter presents the available literature related to the research topic so as to build on the conceptual framework and identify gaps in knowledge. The chapter presents the literature reviewed on factors influencing performance of monitoring and evaluation systems. The chapter contents are themed from the research problem and objectives. The chapter outlines an overview of M&E systems and its significance in NGOs, and assesses how staff training and expertise influence the performance of M&E systems according to literature and examines the extent to which the level of funding influences the performance of the M&E systems. Further, this chapter reviews how adherence to corporate governance practices influence the performance of M&E systems. It also focusses on the extent to which the selection of M&E tools and techniques influence the performance of the M&E systems. Additionally, the chapter outlines a summary of the literature reviewed indicating the critical knowledge gap. Moreover, the chapter provides the conceptual framework showing how independent variables relate to dependent variable.

2.2 Overview of M&E Systems and its Significance to NGOs

Monitoring and evaluation systems have been in existence since the ancient times (Kusek & Rist, 2004). In the present day, the need for M&E systems as a management tool to show performance have grown tremendously with demand by stakeholders for accountability and transparency through its application in monitoring and evaluation by the NGOs and other institutions including the government (Gorgens & Kusek, 2009). Institutions such as Development banks and bilateral aid agencies also regularly apply M&E to measure development performance as well as demonstrate transparency (Briceno, 2010).

Monitoring and Evaluation refers to the process of iteratively collecting and analyzing data of ongoing project and comparing the project outcomes or impact to the planned results with a view of improvements (Hunter, 2009). Therefore, M&E is a combination of

two processes which are different yet complementary (Gorgens & Kusek, 2009). On the other hand, M&E System refers to a set of strategies and tools that are interrelated and serve a common purpose of tracking the implementation and results of a project (Jaszczolt, Potkanski & Stanislaw, 2010). It is therefore, an integrated system of reflection and communication that support project implementation. An M&E system is made up of four interlinked sections, which are; setting up of the M&E system, implementation of the M&E system, involvement of the project stakeholders, and communication of the M&E results (Guijt, Randwijk & Woodhill, 2012). Theoretically, 'an ideal M&E system should be independent enough to be externally credible and socially legitimate, but not so independent to lose its relevance' (Briceno, 2010). The M&E system should therefore be able to influence policy making from recommendations of outcomes, demonstrate sustainability overtime for it to be considered as responsive to the needs of the partners and stakeholders.

A well-functioning monitoring and evaluation system is considered important for NGOs. It provides the only formal and regular information to project managers showcasing the project progress. This process is important in assisting project managers to assess the project process and determine whether there is achievement of the intended objectives or not. The information obtained is important in enabling the project managers make the necessary adjustments. A good monitoring and evaluation systems therefore provides timely and reliable information to support programme or project implementation with accurate evidence based reporting that informs management and decision making to guide and improve project or programme performance (Guijt, Randwijk & Woodhill, 2012). According to Failing and Gregory (2013), M&E is important in assisting corporates and institutions to track their performance and to measure the impacts of management actions in order to provide feedback on progress towards goals and effectives of program interventions.

A good monitoring and evaluation system contributes to organizational learning and knowledge sharing by enabling NGOs to reflect upon and share experiences and lessons from their implementation to get the full benefit of what the organization is doing, what they do and how they do it (Guijt, Randwijk & Woodhill, 2012). For Carvil and Sohail

(2013), an M&E system supplements and supports project and organizational performance, by means of relevant information and learning. It allows development actors to learn from each other's experiences, building on expertise and knowledge and reveals mistakes and offers paths for organizations to learn and improve while incorporating the lessons in their policies and practices. This brings about the concept of "Knowledge management" which means capturing findings, institutionalizing learning, and organizing the wealth of information produced continually by the M&E system" (Gudda, 2011). It also augments managerial processes and provides evidence for decision-making (Hailey, 2012).

Monitoring and Evaluation is important in demonstrating accountability (Moynihan, 2014). M&E promotes accountability to both the donors and the beneficiaries through generation of reports (usually written reports) that show programmatic achievements and financial statements on how resources were utilized. This is critical in demonstrating to the donors and beneficiaries that the resources have been used appropriately and that the organization is effectively working towards meeting the project objectives by sharing documented results of progress made and results achieved so far (Stem, Margoluis, Salafsky & Brown, 2014). Additionally, M&E systems can be used in the context of research by assisting with the gathering or generation of knowledge about a subject to gain better understanding of a topic and to discriminate among competing hypothesis (Failing & Gregory, 2013).

In most Sub-Saharan African (SSA) countries, there are simply too few people with the necessary skills and capacity of designing and implementing M&E activities. Many experts in M&E have left part of the "brain drain" afflicting much of Sub-Saharan Africa (Paton & Foot, 2012). Training programs to raise the skills of those who remain have produced disappointing results. Additionally, the few M&E specialists are expensive beyond the means of many NGOs who don't have adequate resource to engage such experts. As such many NGOs lack the technical expertise, knowledge and understanding of M&E (Mebrahtu, 2004)

Some of the inherent challenges and limitations of monitoring and evaluating development work are well documented in the literature and include the non-linearity of political change, the complexity of contextual variables and issues around methodology, attribution, resources and timings (Bakewell & Garbutt, 2005; Chesos, 2010; Koffi-Tessio, 2002). One study of M&E practices of British NGOs in Ethiopia identifies a lack of shared meanings of M&E: the further away from the field individuals were located, the more likely they were to emphasize on the potential of M&E to feed into organizational learning; conversely, field staff were found to emphasize accountability to donors (Mebrahtu, 2004). Bryant (2007) finds that NGOs with the least donor funding were the ones doing the most about evaluation possibly because in the case of donor funding, the evaluation is treated as part of contract compliance and donor needs must be met, as opposed to fulfilling the learning needs of the organization.

A study done in Kenya that focused on main programmes in the social protection sector in Kenya, conducted through literature review, landscape survey and in-depth interviews with project implementers, unveiled several challenges in the M&E systems in NGOs (Republic of Kenya, 2012). The study dubbed the Kenya Social Protection Sector Review (2012) found out that not many projects in Kenya have functional M&E systems, despite it being accredited for promoting transparency and accountability. From the programmes reviewed, 96% had developed some type of indicator framework for M&E, 91% conducted monitoring activities, 61% had a planned or ongoing impact evaluation and 39% had no M&E reports for public consumption. This was attributed to programmes not allocating the required resources at the design stage of the M&E system. According to the international benchmark, the M&E allocation should be 10% - 12% of the total programme cost (Lehman, 2013). However, most programmes in Kenya were seen to allocate less than the standard. There was also an inconsistency in the choice of performance indicators among the Kenyan programmes which led to incoherent and incomprehensive M&E systems. Out of 88.1% of the Kenya safety net programmes, only 16.7% could provide a review team with a logical framework. The review also established that although M&E rarely influenced the decision making process, its information was being used to inform project and programme designs as well as inform policies. The review also notes that the country relies much on M&E international

consultants and therefore recommends capacity building of national and progressive wean programme of civil servants (locals) because they will stay in the sector over the long term.

The Aga Khan Foundation (AKF) is an international NGO in Kenya. The activities of AKF are implemented through a host of cooperating agencies and are intended to improve the quality of life of beneficiary communities by assisting in the struggle against hunger, disease, illiteracy, ignorance and social exclusion. Given that in Kenya, NGOs are faced with several challenges in addition to inability to resourcefully respond to changing needs as evidenced in the Kenya Social Protection Sector Review (Republic of Kenya, 2012), this study will analyse the factors influencing performance of monitoring and evaluation systems in Aga Khan Foundation, Nairobi, Kenya.

2.3 Staff Training and Expertise Influences on the Performance of M&E Systems

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

Building an adequate supply of human resource capacity is critical for the sustainability of the M&E system and generally is an ongoing issue. Furthermore, it needs to be recognized that "growing" evaluators require far more technically oriented M&E training and development than can usually be obtained with one or two workshops. Both formal training and on-the-job experience are important in developing evaluators with various options for training and development opportunities which include: the public sector, the private sector, universities, professional associations, job assignment, and mentoring programs (Acevedo, Krause & Mackay, 2010).

This findings of UNDP (2011) reflect that programme managers in projects need not only have complex monitoring and evaluation systems, but also possess a rudimentary knowledge of, and ability to utilize reporting, monitoring and evaluation system. Furthermore, Acevedo, Krause and Mackay (2010), observes that both formal training and on the job experience are important in developing evaluators. Additionally, Murunga (2011) is of the view that players in the field of project management like project and programme managers, M&E officers, project staff and external evaluators will require specialized training not just in project management and M&E; but specifically in areas like Participatory monitoring and evaluation and results based monitoring and evaluation. UNAIDS (2008) notes that, not only is it necessary to have dedicated and adequate numbers of M&E staff, it is essential for the staff to have the right skills for the work while Nabris (2008), states that monitoring and evaluation carried out by untrained and inexperienced people is bound to be time consuming, costly and the results generated could be impractical and irrelevant.

Staff in NGOs need to be trained not only on collecting descriptive information about a programme, product, or any other entity but also on using something called "values" to determine what information and to draw explicitly evaluation inferences from the data, that is inferences that say something about the quality, value or importance of something (Davidson, 2004). This is because, there is a constant demand for training in planning, monitoring, review, evaluation and impact assessment for both program staff and partners in projects (Gosling & Edwards, 2003). Skills for numeracy, literacy, interviewing and monitoring in qualitative and quantitative methods, for management information systems are necessary for participatory monitoring and evaluation (Guijt, Randwijk & Woodhill, 2012).

In Kenya, Mibey (2011) study on factors affecting implementation of monitoring and evaluation programs in *Kazi kwa Vijana* project, recommends that capacity building should be added as a major component of the project across Kenya, and this calls for enhanced investment in training and human resource development in the crucial technical area of monitoring and evaluation. This was reiterated in a study by White (2013) on monitoring and evaluation best practices in international non-governmental organizations

(INGOs). White found out that INGOs encounter a number of challenges when implementing or managing M&E activities one being insufficient M&E capacity where M&E staff usually advise more than one project at a time. The study also recommended for enhanced investment in training and human resource development in the crucial technical area of monitoring and evaluation in INGOs.

The Aga Khan Foundation is an INGO in Kenya and deals with diversified projects. Given the generalization by White (2013) that INGOs are faced with several challenges in addition to inability to resourcefully respond to M&E needs in terms of training and human capacity, this study determined how training in monitoring and evaluation aid in the performance of the M&E system in Aga Khan Foundation, Nairobi, Kenya.

2.4 Level of Funding and Performance of M&E Systems

Globally, development needs in developing countries are tremendous demographically, geographically and in terms of key social, economic and political issues (Gill, Flynn & Reissing, 2015). Some of the arising international concerns such as primary education, mother child health care, HIV aids, poverty, income inequalities, gender and development, governance and human rights. The quest for development becomes more elusive in countries where there is high dependency on foreign aid and lopsided budgetary allocations due to debt servicing. Governments are trying to address these problems through pro-poor growth strategies and reform policies. However, non-committal bureaucratic system, political instability and budgetary constraints create an obstacle in the pursuit of development (Boschken, 2014).

Mainly, research on NGOs' M&E systems' performance measurement examines two main issues: internal indicators and external indicators. According to Argyris (2004) and Bennis (2006), the internal indicators of measuring NGOs M&E systems' performance are related to "organizational health." These indicators concern the financial performance of NGOs including access to funding, budgeting efficiency, expenses and costs (Ritchie & Kolodinsky 2013). On the other hand, the external indicators address the link between the NGO and the environment. For instance, Yuchtman and Seashore (2010) proposed a system resource framework which defines NGOs M&E systems' performance as the

17

capability to derive benefits from the surroundings toward the best acquisition of the financial needs and requirements for their survival. Their framework is based on the idea of NGOs ability to sustain a good connection with the environment (Keeley, 2009; Connolly, Conlon & Deutsch 2010).

Considering the financial performance of NGOs' M&E systems, fundraising efficiency is the main variable that has been heavily mentioned and highlighted in the literature. Andreasen and Kotler (2008) defined fundraising efficiency as a process of obtaining funds for NGOs survival especially in M&E systems. The fundraising efficiency is measured using donors' dependency ratio (Epstein & McFarlan, 2011). Lewis (2009) also mentioned that the resource generation ratio is another measure used to evaluate fundraising efficiency. Other measures such as the amount of funding costs and the response rate of funding proposals are used also for evaluating fundraising efficiency (Niven, 2008). Although fundraising efficiency is the most related measure in evaluating the financial performance of NGOs, other measures are also considered. These measures are linked to financial transparency inside NGOs as it has been suggested by Better Business Bureau (2008). Financial transparency means that NGOs must make information about their financial activities available to relevant stakeholders. This involves preparing accurate, complete and timely financial reports and making them accessible to stakeholders, including donors.

Globally, the Aga Khan Foundation (AKF), has implemented development projects for more than 45 years. It focusses on a small number of specific development problems by forming intellectual and financial partnerships with organizations sharing its objectives. With a small staff, a host of cooperating agencies and thousands of volunteers, the Foundation reaches out to vulnerable populations. AKF projects are designed to contribute lessons through M&E that are geared towards understanding complex issues and identifying potential solutions for adaptation to conditions in different regions. AKF measures success through beneficiary assessment, and when the processes which led to these improvements serve as useful models in other places like government agencies. In this case, relevant approaches ought to be tested primarily within different cultural and geographic environments.

The AKF is largely an implementing organization rather than a grant-making foundation. It receives grant funding from numerous development agencies, private foundations and corporations; raises funds locally in annual events in North America and Western Europe; and receives funding from His Highness the Aga Khan. In addition, an endowment contributes towards its operating costs (Aga Khan Foundation, 2016). It is against this backdrop that this study sought to establish the extent to which the level of funding influences the performance of the M&E systems in Aga Khan Foundation, Nairobi, Kenya.

2.5 Adherence to Corporate Governance and Performance of M&E Systems

To ensure the success of the M&E system, the management needs to support it (World Bank, 2011). Project management is the team in charge of the project and it includes: project manager, project staff, M&E staff and implementing partners (Pfohl. 2006). The project management team is responsible for making decisions and strategic planning of the project. It also manages the M&E system by tracking indicators, producing quarterly project reports and annual strategic reports (Vivian, 2014). The project manager ensures that the project staff carry out their jobs effectively (Guijt, Randwijk & Woodhill, 2012). The project staff does the implementation role where they collect monitoring data and present it in weekly and quarterly reports (Vivian, 2014).

For an M&E to function as a managing tool, the project management and M&E staff need to identify and act on the project improvements. Also for the M&E to be more effective, it should be coordinated by a unit within the project management team in order to facilitate management's quick use of the M&E information (Guijt, Randwijk & Woodhill, 2012). It is the project management team that decides when project evaluation should be done (Moynihan, 2014). If the project management team fails to pay attention to the operations of the M&E, it diminishes its importance to the rest of the project staff. The M&E process hence provides useful information for decision-making to all levels of project management (Gudda, 2011).

Monitoring and evaluation system provides the feedback component that, gives decision makers (project management) an additional public sector management tool (Kusek &

Rist, 2004). M&E is also a management function set by donor agencies as preconditions for allocation of funds to NGOs (Hunter, 2009). M&E system as well is part of management tool which provides feedback on performance, fundamental for governance and decision making of projects and NGOs (Gorgens & Kusek, 2009). The M&E system therefore provides information both to the internal (management) and external (donors) users. The project management uses the M&E information to make decisions, in planning, in impact assessment and for accountability (Pfohl. 2006). An effective M&E should therefore be able to provide: managers with the needed information for day-to-day decisions; key stakeholders with guidance information on the project strategy; project early warning signs; empowerment to beneficiaries; capacity building as well as assess progress and build accountability (Moynihan, 2014). Monitoring and evaluation is therefore a learning process that centers on efficiency, performance and impact of the project. However, for M&E to deliver proper planning has to be in place, by which progress and achievements are measured against (Gosling & Edwards, 2003).

The above literature on the role of management and its influence on the performance of M&E Systems only highlights recommendations but fails to bring out vivid statistics on an ongoing project or a functioning NGO. This prompted the researcher to investigate how the role of management or corporate governance affects M&E systems in organizations. AKF is an INGO in Kenya and deals with diversified projects. Therefore, this study sought to determine how the adherence to corporate governance affects the performance of the M&E system in Aga Khan Foundation, Nairobi, Kenya. Hence, recommendations were made on the basis of established statistical evidence, making them more practical and valid.

2.6 Selection of Tools and Techniques and Performance of M&E Systems

From the work of John and Khilesh (2008), we are able to conclude that research-based M&E is a powerful management tool that is used to help stakeholders track progress and demonstrate the impact of their projects or programs. While results-based M&E tracks basic short-term program outputs, it puts an especially strong focus on assessing the program's medium and long-term outcomes and impact as discussed in UNDP (2011).

Currently, an increasing number of donors of community based projects have been focusing on assessing results rather than just monitoring progress on planned activities. This is indicated in the United Nations Development Programme (2007). As a result of analysis done within several organizations working in different communities, Ben (2002) was the opinion that adopting a results-oriented approach to any organization's M&E system works efficiently by keeping track of progress on its strategic programs and the corresponding outcomes and impacts of projects. Results-oriented approach is further adopted in order to meet the increasingly rigorous requirements of their various donors and partners (Jody & Ray, 2004).

Results-based M&E is an essential tool to ensure the most effective and efficient use of resources, determine the extent to which the program or project is on track and to make any required corrections while evaluating the extent to which the program or project is having or has had the desired impact (World Bank, 2011). UNDP (2011) argues that result based monitoring is done in the communities so as to ensure that implementation is moving according to plans. Additionally, results-based M&E is done to identify areas needing further support for non-governmental organizations having community based projects (John & Khilesh, 2008), improve the quality of routine work at the ground level, to provide baseline information for evaluations of projects and to feed into project planning and development in the communities (Pfohl, 2006).

Both monitoring and evaluation are management tools (Jody & Ray, 2004). In the case of monitoring, information is routinely gathered for tracking progress according to previously agreed plans and schedules. Evaluation is more episodic than monitoring (World Bank, 2011). It is facilitated by monitoring but utilizes additional sources of information (Nabris, 2008). Many such sources are identified during project reviews when there is a need to understand why inputs did not lead to planned outputs or what the impact of a programme has been (John & Khilesh, 2008). Tracking progress using M&E data can also assist managers in identifying areas for technical support or capacity building, both among staff and NGO partners (Pfohl, 2006). Regular feedback of monitoring results can be encouraging both to NGO partners and non-support staff. M&E feedback also provides useful opportunities for staff and stakeholder participation

(UNDP, 2011). All these factors need to be considered since they affect monitoring and evaluation of community based projects.

It is important, when preparing an M&E plan to identify methods, procedures, and tools to be used to meet the project's M&E needs (Chaplowe, 2008). This is because projects require different M&E needs depending on the operating context, implementing agency capacity and donor requirements. There are many tools and techniques used to aid project managers in planning and controlling project activities which include: project selection and risk management tools and techniques; project initiation tools and techniques; project management planning tools and techniques; project management executing tools and techniques; and project management monitoring and controlling tools and techniques.

The NGOs mainly use two principal frameworks: result framework and logical framework (Jaszczolt, Potkanski & Stanislaw, 2010). A framework is an essential guide to monitoring and evaluation as it explains how the project should work by laying the steps needed to achieve the desired results. A framework therefore increases the understanding of the project goals and objective by defining the relationships between factors key to implementation, as well as articulating the internal and external elements that could affect the project's success. A good M&E framework can assist with ideas through the project strategies and objectives on whether they are ideal and most appropriate to implement. The M&E framework should also include details on budgeting and allocation of technical expertise, as well as inform donors and project management on the its implementation (Guijt, Randwijk & Woodhill, 2012).

M&E systems use different tools and approaches, some of which are either complementary or substitute to each other, while others are either broad or narrow (World Bank, 2011). An evaluator however may choose to use a combination of methods and sources of information in order to cross-validate data (Nabris, 2008). The M&E system tools include performance indicators, logical framework approach, theory-based evaluation, formal surveys, rapid appraisal methods, participatory methods, public expenditure tracking surveys, impact evaluation, cost benefit and cost performance analysis. A successful M&E system therefore should be modified to specific setting with

allowance for flexibility and imagination (Jha et al., 2010). When establishing an M&E system, organizations should also consider experiences from other organizations (Briceno, 2010).

The above literature on tools and techniques in M&E systems clearly lays down the procedure and methods used in monitoring and evaluation. AKF is an international NGO in Kenya and deals with diversified projects in basic education, women's political participation, conflict prevention, electoral systems, public financial management, and community participation. Given the generalization by White (2013) that INGOs are faced with several challenges in addition to inability to resourcefully respond to M&E tools and technical needs in terms of training and human capacity, this study sought to find out the extent to which the selection of tools and techniques influence the performance of M&E systems at Aga Khan Foundation, Nairobi, Kenya.

2.7 Theoretical Framework

The study was grounded on the Theory of Change of 1995 by Carol Weiss. Theory of change is a rigorous yet participatory process whereby groups and stakeholders in a planning process articulate their long-term goals and identify the conditions they believe have to unfold for those goals to be met (Weiss, 1995). According to Weiss, these conditions are modeled as desired outcomes, arranged graphically in a causal framework. Theory of Change as reported by Clark and Taplin (2012), is essentially a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context. It is focused in particular on mapping out what has been described as the "missing middle" between what a program or change initiative does (its activities or interventions) and how these lead to desired goals being achieved. It does this by first identifying the desired long-term goals and then works back from these to identify all the conditions (outcomes) that must be in place (and how these related to one another causally) for the goals to occur (Clark & Taplin, 2012).

Theory of change is a tool used for developing solutions to complex social problems. It provides a comprehensive picture of early and intermediate term changes that are needed to reach a long term set goal (Anderson, 2005). Theory of change can be both a planning

and issue-framing tool, and a monitoring and evaluation tool (Weiss, 1995). Relevant to this study is the evaluation tool. As an evaluation tool, data can then be collected to evaluate progress toward the stated goals as well as the performance of interventions in producing outcomes (Clark & Taplin, 2012). It therefore provides a model of how a project should work, which can be tested and refined through monitoring and evaluation. A theory of change is also a specific and measurable description of change that forms the basis for planning, implementation and evaluation.

Most projects have a theory of change although they are usually assumed (Anderson, 2005). The theory of changes helps in developing comprehensible frameworks for monitoring and evaluation. It is mainly used by NGOs and donors to articulate long term impact on projects (James, 2011). This study sought to analyze the factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation (AKF). AKF is an INGO in Kenya and deals with diversified projects. Documenting their M&E systems in terms of factors that affect its performance in monitoring and evaluation may add literature to this field of knowledge.

2.8 Conceptual Framework

Conceptual framework is a model of presentation where researcher represents the relationship between variables in the study and shows the relationship graphically or diagrammatically (Orodho, 2005). The independent variable(s) attempts to indicate the total influence in a study (Mugenda & Mugenda, 2003). In this research, the conceptual framework is the concise description of the phenomenon under study accompanied by visual depiction of the variables under study (Jackson, 2009).

This study sought to analyze the factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation, Nairobi. The independent variables in this study include: staff training and expertise in M&E; level of funding in M&E; adherence to corporate governance practices; and selection of tools and techniques for M&E. The dependent variable is the performance of M&E systems. This research therefore adopted the conceptual framework illustrated in Figure 2.1.

INDEPENDENT VARIABLES

MODERATING VARIABLES

DEPENDENT VARIABLE

Staff Training in M&E
- Skills acquired
- Frequency of trainings
- Relevance of training
- Skills acquired
- Applicability of skills

Level of Funding in M&E
- Provision of budget allocation to M&E
- Amount allocated to M&E
- Adequacy of allocated amount

Adherence to Corporate Governance Practices
- Compliance in reporting lines
- Management use of M&E system
- Role of management on performance of M&E system
- Responsibility for M&E functions

Selection of Tools and Techniques for M&E
- Appropriate tools and techniques
- Rate tools and techniques applicability
- Rate relevance of proper use of tools and techniques

Donor Related Factors
- Government policy and regulations

INTERVENING VARIABLES

NGO Related Factors
- Commitment
- Accountability
- Proper planning
- Practical goals and objectives

Performance of M&E Systems
- Accurate and quality information
- Accessibility to information
- Knowledge in M&E system
- Understanding of M&E use of tools and techniques
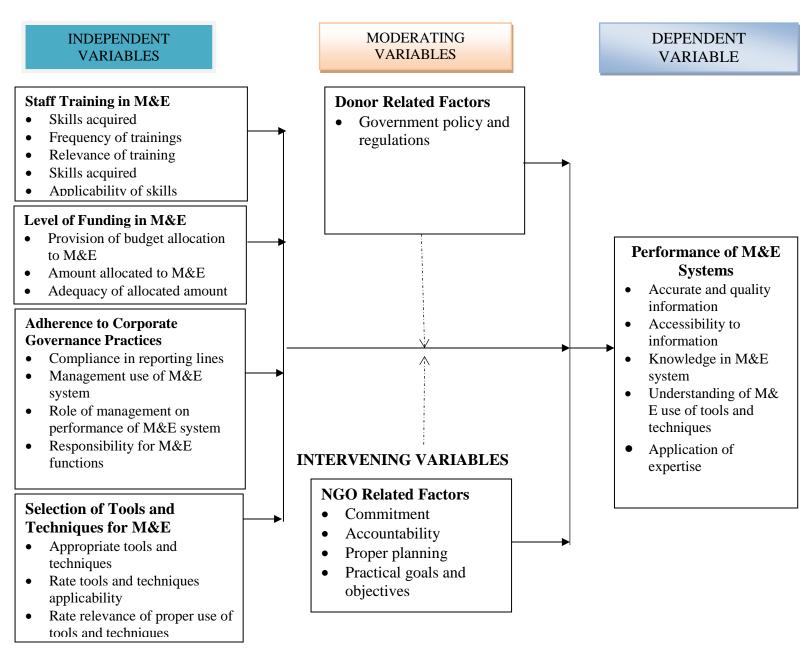- Application of expertise

Figure 1: Factors Influencing Performance of Monitoring and Evaluation Systems

25

2.9 Summary of Literature Review

Reviewed literature established that training and staff expertise are fundamental factors in the production of M&E results (World Bank, 2011). M&E being a new professional field, training is paramount in building an effective M&E human resource capacity both in quality and quantity. It was established that poor acquisition of the appropriate M&E systems by NGOs could be attributed to their lack of emphasis on methodological and conceptual training. Therefore, literature recommends that NGOs need to be educated on M&E in order to develop technical skills among the M&E specialists. In order to have an effective M&E the staff need to undergo training as well as possess skills in research and project management (Nabris, 2008).

The management in projects has a role and is held responsible of the M&E system; hence the management support is vital for its success (World Bank, 2011). The management therefore ensures that the project staffs carry out the M&E job effectively (Guijt, Randwijk & Woodhill, 2012). The M&E process as well provides useful tools and techniques for decision-making and all other levels of project implementation including M&E (Vivian, 2014).

It is from this backdrop that the researcher was prompted to conduct a study to look at the existing M&E systems, used by an international NGO operating in different sectors within Kenya, in regard to factors affecting the performance of M&E systems in a bid to recommend on how to adopt a result-based M&E system that is more effective and efficient for NGO projects. Therefore, this study analyzed the factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation, Nairobi-Kenya.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter presents the methodology used in carrying out the research. The chapter describes the research design, target population, sampling procedures and sample size, research instruments, reliability and validity of research instruments, data collection procedure and data analysis techniques.

3.2 Research Design

The research design that was employed in this study was descriptive survey. Descriptive survey design is concerned with conditions or relationships that exists, opinions that are held, processes that are going on, effects that are evident, or trends that are developing (Kumar, 2005). The problem for description was the factors influencing performance of monitoring and evaluation systems in Aga Khan Foundation, Nairobi, Kenya. The study described the influence of staff training in M&E, project management's role in M&E, and selection of tools and techniques for M&E on the performance of M&E system, respectively. The design was suitable for this study because descriptive survey determines and reports the way things are and attempts to describe such things as possible on behavioural characteristics (Mugenda & Mugenda, 2003). The design therefore helped describe the state of the problem under investigation and the relationship between the variables.

3.3 Target Population

Target population is the specific components that the study focuses on and to which the findings of the research are generalized (Patton, 2002). After visiting AKF, the target population included the entire 5 programme managers and 25 project/ M&E staff members responsible for the diversified projects in education, health, civil society and rural development. In descriptive survey studies, a researcher targets a group of people believed to be reliable for a study (Kumar, 2005). In this case, the programme managers and staff were targeted because they were believed to be familiar with the operations of monitoring and evaluation systems in AKF.

3.4 Sampling Procedure and Sample Size

Sampling procedure or sampling technique is the process of selection of the sample, as a representative of the population (Jackson, 2009). On the other hand, Kothari (2008) defines sample as a portion, piece or segment that is representative of a whole. In light of this, Mugenda and Mugenda (2003) recommends that where the target population is so small, selecting a sample would be meaningless and therefore, the whole population should be studied. Hence, census survey research where all the respondents of the population are used, was applied to select all the 5 project managers and 25 M&E staff members responsible for the diversified projects in education, rural development, health, public and civil society as the thematic areas of Aga Khan Foundation. The census size was of 30 respondents.

3.5 Data Collection Instruments

Data collection instruments are the specific type of research tools used to gather data or information for a study such as a questionnaire, observation checklist, interview guide, and document analysis (Kothari, 2008). The choice of a tool and instrument depends mainly on the attributes of the subjects, research topic, problem question, objectives, design, expected data and results (Kumar, 2005). A semi-structured questionnaire (see Appendix II) and a semi-structured interview guide (see Appendix III) were prepared to collect data from the respondents in this study. The researcher therefore used different types of research instruments. This approach is supported by Jackson (2009) who contends that the use of multiple tools, commonly referred to as triangulation, for collecting data enhances the results of each tool. It therefore implies that the gaps discovered in one tool were verified by information provided by another instrument.

3.5.1 Questionnaire for Project/M&E Staff

The respondents were expected to respond by writing or making a tick on the questionnaire form. The semi-structured questionnaire used in data collection contained both open and closed-ended questions. The closed-ended questions provided more definite responses to facilitate tangible recommendations (Kombo & Tromp, 2006). The closed-ended questions were used to test the rating of various attributes and this helped in

reducing the number of related responses in order to obtain more varied responses. Further, the open-ended questions provided additional information that may not have been captured in the close-ended questions (Kothari, 2008).

The questionnaire had five parts: part 1 sought for demographic information about the respondents; part 2 solicited for information regarding the influence of staff training and expertise in M&E; part 3, level of funding and M&E; part 4, adherence to corporate governance practices and M&E; and part 5, selection of tools and techniques for M&E on the performance of M&E system, respectively. Questionnaires were preferred as they saved much time for the researcher and for the respondents. Through the use of questionnaires, the respondents had ample time to think and fill the questionnaires, hence minimizing errors (Creswell, 2005). Questionnaires gave the respondents freedom to express their opinion and also to make suggestions (Ngechu, 2004). Further, questionnaires were appropriate in enabling the researcher gather a large amount of data from many subjects economically (Patton, 2002).

3.5.2 Interview Guide for Programme Managers

A semi-structured interview guide (see Appendix III) was prepared to gather relevant information from the programme managers responsible for the diversified projects units in education as one of the core areas at Aga Khan Foundation. The interview guide was prepared to gather information on influence of staff training and expertise in M&E; level of funding and M&E; adherence to corporate governance practices and M&E; and selection of tools and techniques for M&E, on the performance of M&E system, respectively. The questions were structured with a view of directing the conversation toward the topic and objectives of the study. The interviews were not conducted by the researcher owing to unavailability of the targeted population. The lack of opportunity to interview denied the researcher an opportunity to obtain greater clarity of the information sought after (Orodho, 2005).

3.6 Validity and Reliability

The study put into consideration the validity and reliability of the research instruments and the results.

3.6.1 Validity

Validity is the accuracy and meaningfulness of inferences which are drawn from the research results. It is the strength of the conclusions drawn, inferences or propositions derived, and a degree to which results obtained from the analysis of data actually represents the phenomenon under study (Creswell, 2005). In order to ensure internal validity of the study results, expert judgement was employed in the preparation of research instruments to ensure that the research questions were well captured. In this case, the questionnaires and interview schedule for data collection were constructed in close consultation with the University supervisor. For external validity, appropriate and representative samples were selected for the study which provided an assurance of the results being generalized to the population (Jackson, 2009).

3.6.2 Reliability

Reliability is a measure of the degree to which a research instrument yields consistent results or data each time it is used under the same condition with the same subjects (Kombo & Tromp, 2006). Sample questionnaires were administered to 2 M&E staff selected using simple random sampling from the 6 core programmes in AKF for piloting. A sample interview was conducted using the interview schedule to 1 programme manager selected randomly. Test-retest technique of reliability testing was employed whereby the pilot questionnaires and interview were administered twice to the respondents, with a one-week interval. The analyzed scores from the two pilot studies were correlated using Pearson correlation coefficient (r). Pearson correlation formula was used as follows;

$$r = \frac{n(\sum xy) - (\sum x)(\sum y)}{\sqrt{[n\sum x^2 - (\sum x)^2]\,[n\sum y^2 - (\sum y)^2]}}$$

Where:

r, is the Pearson's coefficient of correlation index;

n, is the number of the respondents;

x, is the numbered items responded to as expected; and

y, is the odd numbered items responded to as expected (Orodho, 2005).

According to the formula, the value of *r* should lie between +1 and -1. A value of 0.82 was obtained and a correlation coefficient of 0.7 or higher is considered significant (Patton, 2002). This ensured that the results of the study were a true description of the problem studied. The pilot study was also used to identify any items in the questionnaire and interview guide that were ambiguous or unclear to the respondents and changed effectively, thereby improving the reliability of the research instruments (Ngechu, 2004).

3.7 Data Collection Procedure

A letter giving the researcher permission to carry out an academic research was obtained from the University of Nairobi (UoN). Respondents' selected (M&E staff) were given questionnaires to fill, which were collected immediately after completion and the Project Managers were to be subjected to interviews. The respondents were given adequate explanation before responding to items in the research instruments. The researcher made all possible attempts to ensure that the data attained from questionnaires were valid and reliable (Kothari, 2008).

To ensure the questionnaires yielded better results, the researcher established a good rapport with the respondents and assure them that the information obtained would be treated with utmost confidentiality (Mugenda & Mugenda, 2003). The researcher ensured that the questionnaires were well filled before collecting them. In the case where some respondents did not complete or fill the questionnaires within the planned time, such subjects were accorded more time to ensure that the information gathered was enough to draw valid conclusions. The duly complete questionnaires were gathered and filed ready for analysis.

3.8 Data Analysis

Data analysis is the process of cleaning and summarizing data so that it becomes information that can easily be interpreted and conclusions drawn from, hence, supporting decision making (Creswell, 2005). Data analysis is the whole process which starts immediately after data collection and ends at the point of interpretation and processing data. The data collected from field work was subjected to both quantitative and qualitative analysis techniques. Linking qualitative and quantitative data analyses

strengthened the overall research design, as well as the interpretation of the findings (Kothari, 2008). Cleaning of collected data was first done through a careful scrutiny of the completed questionnaires to detect errors and omissions. This brought about accuracy and consistency on all the facts gathered (Kombo & Tromp, 2006). Similar responses were brought together. Data was then classified on the basis of common characteristics and attributes and tabulated in form of statistical tables.

Quantitatively, the data was analyzed using the Statistical Package for Social Sciences (SPSS), version 22. Specifically, descriptive analysis was used to analyze numeric data in order to measure and explain the relationship amongst variables. Descriptive analysis involved tabulating and describing data received from a sample of the population (Orodho, 2005). Therefore, findings for the study were presented using frequency distribution tables and interpretations given.

For qualitative data, content analysis was used for the purposes of classification and summarization (Kumar, 2005). Basic level or the manifest level was used in reporting; that is, a descriptive account of the data or this is what was said, but no comments or theories as to why or how. In this case, the aim of content analysis in this study was to make sense of the data collected and to highlight the important messages and features of the findings given. This was done with a view of describing the factors influencing performance of monitoring and evaluation systems in Aga Khan Foundation, Nairobi, Kenya.

3.9 Ethical Considerations

Ethics are norms or standards of behaviour that guide the moral choices about our behaviour and our relationship with others (Mugenda & Mugenda, 2003). All parties in research observed ethical behavior. Research ethics were put into consideration when developing and administering data collection tools and techniques, to avoid any form of harm, suffering or violation. Research ethics or ethical considerations refers to the observation of professionalism in studies, by being concerned about quality of life of other people, integrity and abiding to the law and avoiding unprincipled behavior (Patton, 2002). In-text citations to all literature reviewed was done by acknowledging all authors

to counter plagiarism and a list of references on the same provided. The researcher was also obliged to respect the ethical rights of the participants.

Potential emotional harm to participants was eliminated by ensuring that questions in the research instrument are sensitive to the respondents' privacy need during piloting, and also upholding confidentiality of the information gathered later in reporting. Further, the participants in this study were thoroughly informed about the research to eliminate the uncomfortable feeling brought about the filling of questionnaires. Informing them beforehand on the academic purpose and impact of this study aided to ease the possible withdrawal of participants during data collection, which could have compromised the validity of the findings (Jackson, 2009). Written transmittal letters signed by the researcher requesting for the participants' involvement were issued before the commencement of data collection. These were accompanied by full details of the researcher and information pertaining to the study.

A letter giving the researcher permission to carry out an academic research from the University of Nairobi (UoN) was presented to the Programme Managers at AKF. The participants were given an assurance that the information they give would only be used for academic purposes, and this was adhered to (Creswell, 2005). The names of participants were not published or made known to the public during reporting.

3.10 Operational Definition of Variables

Table 3.1: Operationalization of Variables

Objective	Variable	Indicator(s)	Measurement of Indicator	Measurement Scale	Data Collection Instruments	Data Analysis
To determine how staff training influences performance of the M&E system in Aga Khan Foundation, Nairobi, Kenya.	Staff training in M&E	- Monitoring and Evaluation skills acquired - Experience with M&E -Adequate number of staff for M&E - Experience in M&E -Familiarity with a number of M&E tools and techniques -Competency in M&E	-Level of M&E training -Number of staff for M&E	Nominal	Questionnaire Interview guide	Descriptive & Content Analysis
To establish the extent to which level of funding influences the performance of the M&E systems in Aga Khan Foundation, Nairobi Kenya.	Level of funding	-Familiarity with budgetary allocation and financial management	-Number of years working in M&E - Number of projects staff monitor and evaluate	Nominal and Ordinal	Questionnaire Interview guide	Descriptive & Content Analysis

To determine how adherence to corporate governance practices influences the performance of the M&E system in Aga Khan, Nairobi, Kenya.	Adherence to corporate governance	-Management able to run project and M&E system -Management able to work with the other stakeholders -Management train staff how to handle the M&E system	- Role of management in regard to acting to project demands and improvements - Role of management towards performance of the M&E systems	Nominal	Questionnaire Interview guide	Descriptive & Content Analysis
To find out the extent to which the selection of M&E tools and techniques influences the performance of M&E systems in Aga Khan Foundation, Nairobi, Kenya.	Selection of tools and techniques for M&E	- Logical framework -Participatory approaches -Evaluation surveys -Site visits -Strategic planning frameworks	- Applicability of the tools and techniques	Nominal	Questionnaire Interview guide	Descriptive & Content Analysis

CHAPTER FOUR

DATA ANALYSIS, PRESENTATION, DISCUSSION AND INTERPRETATION

4.1 Introduction

This chapter is a presentation of the research findings obtained from field responses and data. This section includes the background information, presentation of findings and analysis based on theme derived from the objectives of the study and as explored by the questionnaires and interview guides. After the data was collected, it was analyzed and presented in both descriptive (frequency distribution tables) and inferential statistics (correlation).

4.2 Response Rate

Table 4.1: Response Rate

Research Instruments	Respondents	Census size	Percentage (%)
Questionnaires	30	30	100
Interview guides	5	0	100

This study was a census survey where all the respondents of the population are used, and therefore, all the 5 programme managers and 25 M&E staff members responsible for the projects in education as one of the thematic areas of Aga Khan Foundation formed the targeted population. Out of the 30 respondents targeted for data collection, 100% response rate was attained. According to Mugenda and Mugenda (2003) a 50% response rate is adequate, and a response rate greater than 70% is very good in descriptive studies. Hence, the response rate was satisfactory. This response rate was attributed to the data collection procedures, where the researcher pre-notified the potential participants and applied the drop and pick method to allow the respondents ample time to fill the questionnaires.

Further, to the M&E staff used as subjects in the study, the researcher and assistants established a good rapport and assured the respondents that their names would be kept anonymous and that the information provided would be treated with utmost

confidentiality and committed for academic purpose only, to counter their reluctance in participation. For the programme managers, explaining the purpose of the study and the envisaged significance of the findings gathered in attaining maximum performance of M&E systems in the organization ensured their enthusiasm in participation.

4.2 Demographic Information

The study sought to find out the demographic information of the respondents which included gender, age, level of education, years worked in M&E projects and age.

4.2.1 Gender of Respondents

The gender distribution of the respondents was sought in order to establish if there were any gender parities in the positions of M&E in Aga Khan Foundation, Nairobi.

Table 4.2: Gender of Respondents

Gender	Frequency	Percentage (%)
Male	22	73
Female	8	27
Total	**30**	**100**

The findings in Table 4.2 indicated that the majority of the respondents were male (73%) while females' respondents were only 27%. This implies that there were more males than female involved in monitoring and evaluation activities in Aga Khan Foundation.

4.2.2 Respondents' Age Distribution

The age distribution of the respondents was sought in order to establish if there were any age parities in the positions of M&E in Aga Khan Foundation, Nairobi.

Table 4.3: Respondents' Age Brackets

Age brackets	Frequency	Percentage (%)
Below 20years	0	0
20-29 years	6	20
30 - 39 years	12	40
40 -49 years	6	20
Over 50 years	6	20
Total	**30**	**100**

The findings in Table 4.3 shows that majority (40%) of the respondents indicated that their age ranged between 30 to 39 years, followed by 20% who indicated that their age range was between 40 to 49 years. The findings also revealed that 20% of the respondents were aged between 20 to 29 years; A 20% were over 50 years of age. From the findings, it can be inferred that the respondents were old enough to provide reliable and relevant insights on M&E systems at Aga Khan Foundation.

4.2.3 Respondents' Level of Education

The study sought to find out the respondents' level of education in order to ascertain if they were well equipped with the necessary knowledge and skills in their respective areas of specialization.

Table 4.4: Respondents' Level of Education

Level of education	Frequency	Percentage (%)
Diploma	0	0
Undergraduate Degree	6	20
Postgraduate Degree	24	80
Other	0	0
Total	**30**	**100**

From the study findings majority (20%) indicated that they had university first degree (undergraduate), followed by 80% of the respondents who had postgraduate qualification and 0% had diploma. None had certificate qualification as their highest level of education. The findings therefore indicate that the respondents had the capacity, skills and management expertise to conduct M&E activities successfully at Aga Khan Foundation.

4.2.4 Respondents' Work Experience in M&E of Projects

The study sought to find out whether the respondents were experienced enough to provide valuable responses concerning the factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation, Nairobi, Kenya.

Table 4.5: Respondents' Work Experience in M&E of Projects

Work Experience	Frequency	Percentage (%)
Less than 1 year	0	0
1-2 years	0	0
2-3 years	6	20
3-4 years	6	20
4-5 years	0	0
More than 5 years	18	60
Total	**30**	**100**

Based on the findings in Table 4.5, majority (60%) of the respondents had worked in M&E of projects for more than 5 years. This was followed by 20% who had between 3 to 4 years experience in M&E of projects. While another 20% of the respondents had worked in M&E of projects for a period of between 2 to 3 years. The findings therefore imply that the respondents were experienced enough to provide valuable responses concerning the factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation, Nairobi, Kenya.

4.3 Effectiveness of M&E Systems at Aga Khan Foundation

This study sought from the respondents the effectiveness of the M&E Systems at Aga Khan Foundation. M&E System refers to a set of strategies and tools that are interrelated and serve a common purpose of tracking the implementation and results of a project (Jaszczolt, Potkanski & Stanislaw, 2010). The respondents were required to rate the effectiveness of their M&E system, indicate the difficulties in using M&E system and to give their opinion on the possible factors contributing to the difficulties. The following were the findings.

4.3.1 Effectiveness of M&E Systems

Table 4.6: Effectiveness of M&E Systems

Effectiveness	Frequency	Percentage (%)
Very effective	6	20
Effective	24	80
Ineffective	0	0
Very ineffective	0	0
Don't know	0	0
Total	**30**	**100**

The respondents were required to rate the effectiveness of their M&E system. Based on the findings in Table 4.6, 20% of the respondents indicated that the M&E system was very effective; 80% indicated it was effective. It is also worth noting that 0% of the respondents indicated that they did not know whether the M&E system was effective or not.

The respondents attributed the effectiveness of some of their M&E system to the Foundation allocating the M&E system adequate resources and consistency in selection of indicators leading to its comprehensiveness. According to the international benchmark, NGOs are supposed to allocate between 10% and 12% of the total project cost to monitoring and evaluation (Republic of Kenya, 2012). An effective M&E system

requires the interaction between the employees, procedures, data, technology and key stakeholders (Chaplowe, 2008).

4.3.2 Difficulties in Using M&E System

The study sought to find out whether the respondents were experiencing difficulties in using the M&E system at Aga Khan Foundation, Nairobi, Kenya.

Table 4.7: Difficulties in Using M&E System

Response	Frequency	Percentage (%)
Yes	12	40
No	18	60
Total	**30**	**100**

The findings in Table 4.7 indicate that 40% of the respondents faced difficulties in using M&E system while 60% indicated that they had no difficulties using the M&E system. The respondents who cited difficulties in using the M&E system were further asked to give their opinion on the possible factors contributing to the difficulties. The results were as shown in Table 4.8

Table 4.8: Factors Contributing to Difficulties in Using M&E Systems

Factors	Frequency	Percentage (%)
Selected tools and techniques	10	33
The role of management to the operations of the M&E	10	33
The adequacy of M&E training	6	20
Technical expertise of the staff	4	14
Total	**30**	**100**

From the analysis of the results, 33% of the respondents indicated that the selected tools and techniques contributed to the difficulty, while another 33% indicated that the role of management in the operations of the M&E was also a challenge. The study also revealed that the adequacy of M&E training and technical expertise of the staff contributed to

difficulty in the use of M&E system as supported by 20% and 14% of the respondents respectively. The findings indicate the need for proper selection of tools and techniques for M&E, training and the support of the operations of M&E by the cooperate governance of Aga Khan Foundation. The findings of this study agree with Gorgens and Kusek (2009) observation that M&E being a recent professional field, it faces challenges in effective delivery of results. There is therefore a great demand for skilled professionals, capacity building of M&E systems, and harmonization of training courses as well as technical advice and support from the management.

4.4 Staff Training and Expertise and Performance of M&E Systems

Training refers to the attainment of valuable expertise that enhance the outcomes in projects by improving M&E staff skills in tracking the implementation and results of a project. This segment presents the results on training on M&E systems, the rate of training on M&E system, the rating of training on M&E systems in terms of its relevance, the competence of the other staff handling the M&E system and the composition of M&E experts in projects at Aga Khan Foundation.

4.4.1 Training on M&E Systems

Table 4.9: Training on M&E Systems

Response	Frequency	Percentage (%)
Yes	24	80
No	6	20
Total	**30**	**100**

The analysis in Table 4.9 shows that 80% of the respondents had attended training on M&E systems, while 20% had not attended any training. This implies that many of the respondents had knowledge on M&E systems at Aga Khan Foundation. According to Koffi-Tessio (2002), human capital with proper training and experience is vital for the production of M&E results. This is because competent employees are also a major constraint in selecting M&E systems.

The respondents who had attended training were further asked to rate the training on the M&E systems. The results were as presented in Table 4.10.

Table 4.10: Ratings on Training for M&E Systems

Rating	Frequency	Percentage (%)
Very comprehensive	7	23
Comprehensive	23	77
Incomprehensive	0	0
Very incomprehensive	0	0
Don't know	0	0
Total	**21**	**100**

From Table 4.10, forty-two percent (77%) indicated that the training was comprehensive; 23% indicated that the training was very comprehensive; while neither of the respondents indicated that that training was incomprehensive nor very incomprehensive.

The findings show that most of the employees (100%) in the M&E sector at the Aga Khan Foundation go through thorough training to perfect their skills. In their work, Acevedo, Krause and Mackay (2010) observes that both formal training and on the job experience are important in developing evaluators. Additionally, Murunga (2011) is of the view that players in the field of project management like project and programme managers, M&E officers, project staff and external evaluators will require specialized training not just in project management and M&E; but specifically in areas like participatory monitoring and evaluation and results based monitoring and evaluation. However, some of the respondents (20%) considered the training as superficial, creating a need for skills assessment on employees to device a better training programme that befits all in M&E sector at Aga Khan Foundation.

4.4.2 Relevance of Training on M&E Systems

The study sought to find out the relevance of training on M&E systems at Aga Khan Foundation, Nairobi, Kenya.

Table 4.11: Relevance of Training on M&E Systems

Relevance	(n = 30)	Mean	Standard deviation
The contents of the training in regard to the effectiveness of the M&E system		1.020	0.821
Contribution to the general effectiveness of the M&E system		1.554	0.835
Capacity building of personnel		2.028	0.802
Increase staff technical expertise		1.050	0.783
Induction of local M&E experts		1.715	0.765
Understanding the positions of the M&E system		1.624	0.820
Increase the quality of the M&E human resource		1.770	1.061

The respondents were asked to indicate the relevance of training in M&E systems in order of relevance using the scale of 1 to 4. Where 1 was "very relevant" and 4 was "not relevant." The contents of the training as shown in Table 4.11, in regard to the effectiveness of the M&E system, were termed as relevant with a mean of 1.020 and a standard deviation of 0.821. Contribution of the training to the general effectiveness of the M&E system was also found to be relevant as supported by respondents with a mean of 1.554 and standard deviation of 0.821. The capacity building of personnel and increase in staff technical expertise were also found to be relevant with means of 2.028 and 1.050 respectively.

The training in M&E systems was as well found to be relevant in the following areas: induction of local M&E experts (mean- 1.715 and standard deviation- 0.765), understanding the positions of the M&E system (mean- 1.624 and standard deviation- 0.820), and in the increase the quality of the M&E human resource (mean- 1.770 and standard deviation- 1.061). M&E human resource management, both in quality and quantity, is required in order to have an effective M&E staff (World Bank, 2011). The Kenya social protection sector review (Republic of Kenya, 2012) also encourages the development of capacity building of national and progressive programmes of local M&E experts.

4.4.3 Competence of Other Staff handling the M&E System

The study sought to find other staff handing the M&E system at Aga Khan Foundation, Nairobi, Kenya.

Table 4.12: Competence of Other Staff handling the M&E System

Competence	Frequency	Percentage (%)
Very competent	12	40
Competent	12	40
Incompetent	0	0
Very Incompetent	0	0
Don't know	6	20
Total	**30**	**100**

Based on the findings in Table 4.12, 40% of the respondents indicated that the staff were competent with another 40% indicating that they were very competent. A small proportion of the respondents (20%) however did not know about that level of competence of the other staff handling M&E system. The findings of this study indicates that the majority of the other staff (80%) handling M&E system at Aga Khan Foundation were competent. From the results, it can be deduced that the management at the Foundation are conscious of the recommendations from Acevedo, Krause and Mackay (2010), who observed that building an adequate supply of human resource capacity is critical for the sustainability of the M&E system and generally is an ongoing issue; and Koffi-Tessio (2002) stand that competent employees is a major factor in selecting M&E systems.

4.5 Level of Funding and Performance of M&E System

This section presents the results on the level of funding and performance of M&E system at Aga Khan Foundation.

4.5.1 Levels of Funding at Aga Khan Foundation

The respondents were asked to estimate the proportions of funding from various sources such as government, external donors, general public, corporate entities and individuals.

Table 4.13: Levels of Funding at Aga Khan Foundation

Source and Amount	Frequency (n=30)	Percentage (%)
Government		
>10%	13	44
25%	7	22
50%	0	0
75%	10	34
External donors		
>10%	2	8
25%	5	17
50%	8	25
75%	15	50
General public		
>10%	9	30
25%	18	60
50%	3	10
75%	0	0
Corporate entities		
>10%	10	33
25%	17	58
50%	0	0
75%	3	9
Individual entities		
>10%	7	23
25%	17	56
50%	0	0
75%	6	21

According to the results in Table 4.13, among the respondents who were questioned, 44% of them said that the government contributes less than 10% to Aga Khan Foundation while 22% said that the contribution by the government is 25%. For external donors, 50% of the respondents said that they contribute over 75% of the budget while 25% said that they contribute 50%. For the general public, 60% said that they contribute 25% of the Foundation's funding. On the other hand, for corporate entities, 58% said that their funds to the Foundation were 25% and 56% said that the funds from individual entities were 25%. Therefore, based on the above information, external donors contributed highly in Aga Khan Foundation.

4.5.2 Amount of Fund Used for M&E System

On the funds available at the Aga Khan Foundation, the researcher sought to know the amount of funding that was allocated for M&E activities.

Table 4.14: Amount of Fund Used for M&E System

Amount of Fund	Frequency	Percentage (%)
Less than 10%	18	60
Between 10-20%	12	40
Less than 30%	0	0
Total	**30**	**100**

According the findings in Table 4.14, majority of the respondents (60%) indicated that the approximate amount of money that was used for M&E was less than 10%, none of the respondents stated that it is less than 30%, while 40% said it was between 10 and 20%. According to the Word Bank (2011) specification, M&E activities should not be allocated less than 10% of the total budget. On the adequacy of the funding allocated to M&E activities, 40% of the respondents said that the funds were adequate while 60% said they weren't enough.

4.6 Adherence to Corporate Governance and Performance of M&E Systems

The study sought to examine how the corporate governance at Aga Khan Foundation affected the effectiveness of M&E systems. This section report on the role of management in regard to acting on the project demands and improvements, the role of management towards performance of the M&E system, rate on the use of information from the M&E system by the management and the rate on the role of management towards the performance of M&E system.

4.6.1 Role of Management towards Effectiveness of M&E System

The study sought to find out the role of management towards the effectiveness in M&E systems at Aga Khan Foundation as adequate.

Table 4.15: Role of Management towards Effectiveness of M&E System

Ratings	Frequency	Percentage (%)
Very adequate	14	47
Adequate	6	26
Inadequate	6	20
Very Inadequate	3	7
Don't know	1	0
Total	**30**	**100**

From the findings in Table 4.15, majority (47%) of the respondents rated the role of management as very adequate while 21% rated it as adequate. A significant proportion (26%) of the respondents rated the role of management as being inadequate while 11% indicated that it was very inadequate. None of the respondents were unable to rate the role of management towards effectiveness of the M&E systems because they did not know. The findings above show that majority of the respondents (73%) considered the role of management in M&E systems at Aga Khan Foundation as adequate. According to World Bank (2011), to ensure the success of the M&E system, the management needs to support it. Additionally, Pfohl (2006) expounds by stating that project management is the team in charge of the project and it includes: project manager, project staff, M&E staff and implementing partners.

4.6.2 Role of Management in Acting to Project Demands and Improvements

The study sought to find out the role of management initiatives towards project demands and improvements.

Table 4.16: Role of Management in Acting to Project Demands and Improvements

Response	Frequency	Percentage (%)
Very prompt	6	20
Prompt	18	60
Late	6	20
Very late	0	0
Impromptu	0	0
Don't know	0	0
Total	**30**	**100**

The findings in Table 4.16 shows that the management acted promptly and very promptly to project demands and improvements as supported by 60% and 20% of the respondents respectively. The findings also indicated that 20% of the respondents were of the opinion that the management acted late. From the findings, it can be deduced that the management at Aga Khan Foundation acted promptly to the project demands and improvements which affects the effectiveness of M&E system. This was attributed to the fact that the management is responsible of making decisions and strategic planning of the project as well as manages the M&E system (Vivian, 2014). Therefore, the success of the M&E system depends on the support it gets from the management (World Bank, 2011).

4.6.3 Use of Information from the M&E System by the Management

Respondents were asked to rate the use of information from the M&E system by the management using the scale of 1 to 4, where 1 was "highly used" and 4 was "least used." The results were as portrayed by Table 4.17.

Table 4.17: Use of Information from the M&E System by the Management

Information use	Mean (n=30)	Standard deviation
Making decisions	1.24	0.761
Formulating policies	1.62	1.098
Planning	1.77	1.142
Project impact assessment	1.01	0.954
Sharing with other NGOs in the sector	1.02	1.800
Project improvement	1.83	0.871

The findings in Table 4.17 revealed that the information from the M&E systems was used in: making decisions and formulating policies as supported by a mean of 1.24 and 1.62 respectively; planning (with a mean of 1.77 and a standard deviation of 1.142); project impact assessment (mean- 1.01 and standard deviation-0.954), sharing with other NGOs in the sector (mean- 1.02 and standard deviation-1.800) and project improvement (mean-1.83 and standard deviation-0.781). This shows that the information from the M&E system is widely consumed although it does not actually show the level of satisfaction in its consumption.

The results of this study are in line with the finding of Guijt, Randwijk and Woodhill (2012) that the management relies on the information provided by the M&E system for its decision-making. The M&E system therefore provides information both to the internal (management) and external (donors) users. The findings are in agreement with Pfohl (2006) that the project management uses the M&E information to make decisions, in planning, in impact assessment and for accountability. Therefore, Monitoring and evaluation system at Aga Khan Foundation is a learning process that centers on efficiency, performance and impact of the projects.

In regard to the authorities responsible for the performance of the project and M&E activities, the respondents pointed out that the project manager oversees the entire project monitoring and evaluation process while the project staffs do the monitoring and evaluation and the M&E staffs were responsible for M&E system.

4.7 Selection of Tools and Techniques and Performance of M&E Systems

The study sought to examine how the selection of tools and techniques for M&E at Aga Khan Foundation affected the effectiveness of M&E systems. This section reports on the tools and techniques used in the M&E system and the rate of the applicability of the tools and techniques.

4.7.1 Tools and Techniques for M&E at Aga Khan Foundation

Respondents were asked by the researcher to name the tools and techniques used in the M&E system of Aga Khan Foundation. The common tools and techniques listed as used by the Foundation in their M&E system were logical framework, participatory approaches, evaluation surveys, site visits and strategic planning frameworks. This shows that the Foundation uses different tools and techniques for their M&E system. Aga Khan Foundation is responsible for diversified projects in basic education, women's political participation, conflict prevention, electoral systems, public financial management, and community participation, as the core areas. Therefore, the result of this study in regards M&E tools and techniques could be attributed to the projects' M&E needs, information needed, the stakeholders and the cost involved as well as the evaluator's preferred choice of tools and techniques (World Bank, 2002).

4.7.2 Applicability of Tools and Techniques for M&E

The respondents were further asked to rate the applicability of the tools and techniques they mentioned in M&E activities.

Table 4.18: Applicability of Tools and Techniques for M&E

Rating	Frequency	Percentage (%)
Very easy	12	40
Easy	18	60
Difficult	0	0
Very difficult	0	0
Don't know	0	0
Total	**30**	**100**

Forty percent (40%) of the respondents indicated that the applicability of the tools and techniques was easy; 60% indicated that it was easy. The findings of this study points out that majority (100%) of the respondents did not face challenges in the general use of tools and techniques applied in M&E activities at Aga Khan Foundation. This indicates effectiveness of the M&E system at the Foundation.

From related literature, it has been reported that the limitations of the instruments that NGOs use to monitor, evaluate and review are one reason why they are not able to achieve their goals. There has been a lot of argument over the value of the Logical Framework as a planning and monitoring tool (Bakewell & Garbutt, 2005). Logical Frameworks have been useful in the identification of indicators at the planning stage, but not so successful in ensuring their actual utilization during project monitoring and evaluation (Republic of Kenya, 2012). In some cases, the advocates of Logical Frameworks have promoted a very narrow view of indicators that is only that which is measurable can be managed (Bakewell & Garbutt, 2005). This explains the use of other techniques and tools for M&E at Aga Khan Foundation such as participatory approaches, evaluation surveys, site visits and strategic planning frameworks that allow people's participation in the monitoring and evaluation of projects. This study therefore deduces

that the use of other appropriate methods curbs the limitations of Logical Frameworks at Aga Khan Foundation which improves the effectiveness of their M&E system.

4.8 Factors Influencing Performance of M&E System at Aga Khan Foundation

Respondents were asked to rank the determinants in order of priority using the scale of 1-4 where 1 is the highest priority and 4 is the lowest priority. The results were a depicted in Table 4.19.

Table 4.19: Determinants of Effective M&E System at Aga Khan Foundation

Determinants	Rank in order of Priority
Selection of tools and techniques	4
Adherence to corporate governance	3
Level of funding	2
Staff training and expertise	1

From Table 4.19, the ranking from the highest to the lowest was as follows: 1) selection of tools and techniques, 2) adherence to corporate governance, 3) level of funding and 4) staff training and expertise. From the findings, training and expertise was ranked as critical. According to Koffi-Tessio (2002), competent employees are critical in selecting M&E systems. Therefore, human capital with proper training and experience is vital for the production of M&E results at Aga Khan Foundation.

4.9 Correlation Analysis

Pearson correlation was used to measure the degree of association between variables. Pearson correlation coefficients range from -1 to +1. Negative values indicate negative correlation and positive values indicates positive correlation where Pearson coefficient >0.3 indicates weak correlation and Pearson coefficient <0.5 indicates strong correlation.

The analysis in Table 4.20 shows that staff training and expertise has the strongest positive (Pearson correlation coefficient = 0.713) influence on effective M&E system. In addition, selection of tools and techniques, adherence to corporate governance and level

of funding are positively correlated to effective M&E system at Aga Khan Foundation with Pearson correlation coefficients of 0.511, 0.524 and 0.614 respectively.

Table 4.20: Correlation Coefficients

	Selection of tools and techniques	Adherence to corporate governance	Level of funding	Staff training and expertise	Effective M&E systems
Selection of tools and techniques	1				
Adherence to corporate governance	0.631	1			
Level of funding	0.551	0.451	1		
Staff training and expertise	0.611	0.391	0.413	1	
Effective M&E systems	0.511	0.524	0.614	0.713	1

The correlation matrix implies that the independent variables: staff training and expertise; selection of tools and techniques; adherence to corporate governance; and level of funding are very crucial determinants of effective M&E system at Aga Khan Foundation as shown by their strong and positive relationship with the dependent variable.

4.10 Conclusion

This chapter has outlined and interpreted the findings of the study under the themes of staff training and expertise; level of funding; adherence to corporate governance; and selection of tools and techniques for M&E. In the final part, Pearson correlation used to measure the degree of association between variables was tabulated indicating that staff training and expertise; selection of tools and techniques; adherence to corporate governance; and level of funding are very crucial determinants of effective M&E system at Aga Khan Foundation, in that order.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter is a synthesis of the entire study, and contains a summary of research findings, conclusions, recommendations and suggestions for further research. The summary of findings is presented on the basis of the research questions.

5.2 Summary of Findings

The summary below presents the research findings in brief according to the research questions. The objectives of the study were to find out how the effectiveness of the M&E system at Aga Khan Foundation was influenced by: staff training; level of funding; adherence to corporate governance; and selection of tools and techniques for M&E. Out of the 30 respondents targeted for data collection, a perfect response rate of 100% was attained which was excellent for drawing valid conclusions for a descriptive study.

5.1.1 How does staff training and expertise influence the performance of the M&E system in Aga Khan Foundation, Nairobi, Kenya?

More than a half of the project managers and M&E staff had attended training on M&E systems although a noteworthy proportion had not attended any training. The training contents were termed as being 'comprehensive' as well as 'very comprehensive'. Although in some instances it was termed as being 'incomprehensive' and 'very incomprehensive' but at low levels. The contents of the training were said to be relevant and contributed to the effectiveness of the M&E system. The training also had a positive impact on capacity building of personnel and increase in staff technical expertise. M&E training was cited as being the least factor contributing to the difficulty in the utilization of the M&E system.

The M&E training was also found to have an important contribution towards the induction of local M&E experts, understanding of the positions of the M&E system in addition to increasing the quality and quantity of the M&E human resource. Training was

also one of the recommendations given by the respondents in order to improve future M&E systems.

With regards to technical expertise, majority of the project managers and M&E staff stated that the staff members handling the M&E system were competently trained although a small percent were not trained. It is also noteworthy that some project managers and M&E staff did not know about the competence of other staff handling the M& system . Training and expertise was ranked first as a very crucial determinant of effective M&E system at Aga Khan Foundation.

5.1.2 To what extent does level of funding influence the performance of the M&E system in Aga Khan Foundation, Nairobi, Kenya?

It was revealed in this study that the government contributes less than 0%-10% to the Aga Khan Foundation. External donors contribute over 75% of the M&E budget. The general public contributes 25% of the funding at the Foundation as well. This shows that external donors contributed highly to the M&E system at the Aga Khan Foundation. According to the findings, the approximate percentage of money used on monitoring and evaluation was less than 10% from the total Foundation's funding. This was below the specification of Word Bank (2011) that M&E activities should not be allocated less than 10% of the total budget. Level of funding was also ranked second in influence on the effectiveness of M&E system at the Foundation after training and expertise of M&E staff.

5.1.3 How does the adherence to corporate governance practices influence the performance of the M&E system in Aga Khan Foundation, Nairobi, Kenya?

In regard to the promptness in acting to project demands of the M&E system, the role of management was ranked highly at Aga Khan Foundation. The management was also alleged to act promptly and at times very promptly to project demands and improvements. Few however, indicated that the management would act in unprepared manner.

However, a substantial number still regarded the role of management as inadequate. The management was also able to utilize the information from the M&E system. The

information was used to making decisions, formulate policies, in planning, project impact assessment, in learning and in project improvement. Adherence to corporate governance was ranked third as a very crucial determinant of effective M&E system at Aga Khan Foundation, after training and expertise and level of funding.

5.1.4 To what extent does selection of M&E tools and techniques influence the performance of M&E system in Aga Khan Foundation, Nairobi, Kenya?

The Aga Khan Foundation used different tools and techniques in their M&E system. The most commonly used being logical framework, participatory approaches, evaluation surveys, site visits and strategic planning frameworks. The selection of tools and techniques ranked as the highest factor contributing to the success in the use of the M&E system, as cited by project manager and M&E staff. A big number of the project managers and M&E staff also indicated that the applicability of the tools and techniques was easy and very easy respectively.

The result of this study in regards M&E tools and techniques was attributed to the projects' M&E needs, information needed, the stakeholders and the cost involved as well as the evaluator's preferred choice of tools and techniques. Aga Khan Foundation is responsible for diversified projects one being education being one of the core areas, this study was focused on this area. Selection of tools and techniques was ranked fourth as a very crucial determinant of effective M&E system at Aga Khan Foundation, after training and expertise, level of funding and adherence to corporate governance. The study therefore deduced that the use of other appropriate methods in addition to Logical Frameworks at Aga Khan Foundation helped improve the effectiveness of their M&E system.

5.3 Conclusions

This study concludes that training and expertise of M&E staff is the most crucial for an effective M&E system at Aga Khan Foundation. The findings have established that M&E being a recent profession, training is paramount in building an M&E human resource, which is able to manage the M&E system effectively. Training courses should thus be harmonized across the Foundation in order to encourage the induction of local M&E

experts as well as to increase the quality of the M&E staff. A capacity building policy should also be put in place to place emphasis on M&E training across the Foundation on M&E systems.

Additionally, the study concludes that M&E activities should not be allocated less than 10% of the total budget as World Bank recommends. This is because the level of funding was ranked second in influence on the effectiveness of M&E system at the Aga Khan Foundation after training and expertise of M&E staff.

The role played by the management in corporate governance at Aga Khan Foundation majorly dictates the effectiveness of their M&E system. This is because the management is like the central nerve to an effective M&E system. It coordinates the processes of the M&E system ensuring its success and manages the M&E human resource (Word Bank, 2011). Therefore, the management should have the knowhow to run the project and M&E system. It should also work with the other stakeholders, especially the employees to ensure that they have the required experience and training to handle the M&E system.

Further, this study concludes that the selection of tools and techniques to be used for M&E system determines its success or failure. Selection of tools and techniques is a very crucial determinant of effective M&E system. This study established that there is the use of other techniques and tools for M&E such as participatory approaches, evaluation surveys, site visits and strategic planning frameworks that allow people's participation in the monitoring and evaluation of projects.

5.4 Recommendations

The following are the recommendations resulting from this study:

1. The Kenyan National NGOs Coordination Board should liaise with NGOs and INGOs to develop a harmonized training curricula for the M&E staff and conduct training workshops. This will contribute to the induction of local M&E experts, as well as improve the quality and quantity of the experts. The findings of this has established that in order to have an effective M&E system, training should be tailored towards M&E tools, methods, approach and concepts.

2. The Kenyan National NGOs Coordination Board and the Aga Khan Foundation should work together to develop a database of M&E system information, where the M&E employees can learn from previous experiences including that of other NGOs and INGOs.

3. The selection of M&E tools and techniques should be identified when preparing an M&E plan and their limitation put into consideration. Training should be tailored towards the effective application of these M&E tools and techniques. Where they are considered to be a big challenge to the implementation of an effective M&E system, they should be substituted. This study deduced that the use of other appropriate methods curbed the limitations of Logical Frameworks at Aga Khan Foundation which improved the effectiveness of their M&E system.

4. The study therefore recommends that the management of Aga Khan Foundation and other NGOs and INGOs must be innovative as well as interrelate with all aspects of their M&E system. This can include integration of modern technology in M&E systems. The management should identify ways to integrate technology in to the project activities as well as ensure a good interaction between the employees, procedures, data and key stakeholders.

5.5 Suggestions for Further Research

Further research should be done on the following areas:

1. This study did not consider the influence of M&E data and data collection methods which are relevant factors that might be influencing the effectiveness of M&E systems in Aga Khan Foundation. These two factors require research.

2. In addition, this study was only conducted at Aga Khan Foundation, which is an INGO in Nairobi. Other studies should involve more INGO operating within Nairobi and other regions in Kenya, in order to obtain more holistic information on the factors influencing the effectiveness of M&E systems.

REFERENCES

Acevedo, G. L. Krause, P. & Mackay, K. (Eds.). (2012). *Building better policies: The nuts and bolts of monitoring and evaluation systems*. Washington DC: The World Bank.

Andreasen, A. R. & Kotler, P. (2008). *Strategic marketing for nonprofit organizations*. (7th ed.). New Jersey: Prentice Hall, Upper Saddle River.

Argyris, C. (2004). *Integrating the individual and the organization*. New York: John Wiley.

Askari, G. R. (2011). *Factors influencing effective implementation of monitoring and evaluation practices in donor funded projects in Kenya: A case of Turkana District*. Unpublished MBA Research Project, Kenyatta University, Kenya.

Bakewell, O. & Garbutt, A. (2015). The use and abuse of the logical framework approach Retrieved October 1, 2016 from http://www.capacity.org/en/publications/

Better Business Bureau. (2008). *Standards for charity accountability*. Retrieved October 6, 2016 from http://us.bbb.org/WWWRoot/SitePage.aspx?site=113&id=4dd040fd-08af-4dd2-aaa0dcd66c1a17fc.

Ben M. A. (2002). *Community self-assessment, monitoring and evaluation: Technical support mission report notes*. Washington DC: The World Bank.

Bennis, W. G. (2006). *Changing organizations: Essays on the development and evolution of human organizations*. New York: McGraw-Hill.

Boschken, H. L. (2014). Organizational performance and multiple constituencies. *Public Administration Review, 54*(3), 308- 312.

Briceno, B. (2010, September). *Defining the type of M&E system: Clients, intended uses and actual utilization*. Retrieved October 1, 2016 from http://siteresources.worldbank.org/Resources/335642-1276521901256/premnoteME2.pdf

Bryant, C. (2007). Evaluation and accountability in emergency relief. In A. Ebrahim & E. Weisband (Eds). *Global accountabilities: Participation, pluralism and public ethics*. (pp. 168–92). Cambridge: University Press.

Cavill, S. & Sohail, M. (2013). Increasing strategic accountability: A framework for international NGOs. *Development in Practice*, *17*(2), 231-248.

Chaplowe, S. G. (2008). *Monitoring and evaluation planning*. Washington, DC and Baltimore, MD: American Red Cross and Catholic Relief Services (CRS).

Chesos R. (2010). Automated M&E system for NGOs. *The Coordinator, 5*, 1-16. Retrieved from: http://www.ngobureau.or.ke/Publications/ Issue%20No.%205%29.pdf

Connolly, T., Conlon, E. & Deutsch, S. (2010). Organizational effectiveness: A multiple constituency approach. *Academy of Management Review, 5*(2), 211-217.

Creswell, J. W. (2005). Educational *research planning, conducting and evaluating quantitative and qualitative research.* (2nd ed.). Ohio: Prentice Hall Inc.

Davidson, J. E. (2004). *Evaluation methodology basics: The nuts and bolts of sound evaluation*. California: Sage Publications.

Epstein, J. & McFaralan, W. (2011). *Joining a nonprofit board: What you need to know*. New York, NY: Jossey-Bass Publications.

Failing, L. & Gregory, R. (2013). Ten common mistakes in designing biodiversity indicators for forest policy. *Journal of Environmental Management, 68*, 121 - 132.

Gill, M., Flynn, R. J. & Reissing, E. (2015). The governance self-assessment checklist: An instrument for assessing board effectiveness. *Nonprofit Management and Leadership, 15*(3), 271-294.

Gudda, M. W. (2011). *A guide to project management*. Bloomington: Author House.

Gorgens, M. & Kusek, J. Z. (2009). *Making monitoring and evaluation systems work*. Washington, DC: The World Bank.

Gosling, L. & Edwards, M. (2003). *A practical guide to planning, monitoring and evaluation and impact assessment*. London, UK: Save the Children.

Aga Khan Foundation. (2016). *About the Aga Khan Foundation: Kenya*. Retrieved October 1, 2016 from http://www.akdn.org/our-agencies/aga-khan-foundation-kenya

Guijt, I., Randwijk, W. & Woodhill, J. (2012). *A guide for project M&E: Managing for impact in rural development*. International Fund for Agriculture Development (IFAD), Office of Evaluation and Studies (OE).

Hailey, J. (2012). Indicators of identity: NGOs and the strategic imperative of assessing core values. *Development in Practice*, *10*(4), 402-407.

Hunter J. (2009). *Monitoring and evaluation: Are we making a difference*? Windhoek, Namibia: Namibia Institute for Democracy John Meinert Printing.

Jackson, S. L. (2009). *Research methods and statistics: A critical thinking approach* (3rd ed.). Belmont, CA: Wadsworth.

Jaszczolt, K., Potkanski T. & Stanislaw, A. (2010). *Internal project M&E system and development of evaluation capacity: Experience of the World Bank*. Washington, DC: The World Bank.

Jha, A. K., Barenstein, J. D., Phelps, P. M., Pittet, D. & Sena, S. (2010). *Safer homes, stronger communities: A handbook for reconstructing after natural disasters* (pp. 269-284). Washington, DC: World Bank Publications.

Jody, Z. K. & Ray, C. R. (2004). *Ten steps to a results-based monitoring and evaluation system: A handbook for development practitioners*. Washington, DC: World Bank Publications.

John, C. & Khilesh, C. (2008). *Planning, monitoring and evaluation in development organizations*. New York, NY: Sage Publications Pvt. Ltd.

Keeley, M. (2009). A Social justice approach to organizational evaluation. *Administrative Science Quarterly, 22*, 272-292.

Koffi-Tessio, B. (2002). *Efficacy and efficiency of monitoring-evaluation systems (MES) for projects financed by the Bank Group*. African Development Bank Group.

Kombo, K. D. & Tromp, D. L. A. (2006). *Proposal and thesis writing: An introduction*. Nairobi: Pauline's Publications Africa.

Kothari C. R (2008). *Research methodology, methods and techniques*. (3rd ed.). New Delhi: Pitman Publishers.

Kumar, R. (2005). *Research methodology: A step by step guide for beginners*. (2nd ed.). New Delhi: Sage Publication.

Kusek, J. Z., & Rist, C. R. (2004). *Ten steps to a results-based monitoring and evaluation system*. Washington DC: World Bank.

Lehman, G. (2013). The accountability of NGOs in civil society and its public spheres. *Critical Perspectives on Accounting, 18*, 645–669.

Lewis, T. (2009). *Practical financial management for NGOs-MANGO*. New York, NY: Management Accounting for Non-Governmental Organizations.

Mebrahtu, E. (2004). *Putting policy into practice: Participatory monitoring and evaluation in Ethiopia*. Oxford: INTRAC.

Meyer, C. (2012). A step back as donors shift institution building from the public to the private sector. *World Development, 20*(8), 1115–1126.

Mibey, H. K. (2011). *Factors affecting implementation of monitoring and evaluation programs in kazi kwa vijana project by government ministries in Kakamega Central District, Kenya*. (Unpublished Master's Thesis). University of Nairobi, Kenya

Mouton, C. (2010). *The history of programme evaluation in Kenya.* Stellenbosch: University of Stellenbosch, South Africa.

Moynihan, D. (2014). Goal based learning and the future of performance management. *Public Administration Review, 65*, 203 - 216.

Mugenda, O. M. & Mugenda, A. G. (2003). *Research methods: Quantitative and qualitative approaches*. Nairobi, Kenya: Acts Press.

Murtaza, N. (2011). Putting the lasts first: The case for community-focused and peer-managed NGO accountability mechanisms. *Voluntas, 22*, 1–17.

Murunga K. B. (2011). *Factors influencing the application of participatory monitoring and evaluation approach of managing development projects in Kenya*: *The case of local links projects*. (Unpublished Master's Thesis). University of Nairobi, Kenya.

Nabris, K. (2008). *Monitoring and evaluation and civil society empowerment*. Jerusalem: PASSIA.

Niven, P. (2008). *Balanced scorecard: Step-by-step for government and nonprofit agencies*. New Jersey: Wiley.

Orodho, J. A. (2005). *Techniques of writing research proposals and reports in education and social sciences*. Maseno: Kanezja HP Enterprises.

Patton, M. Q. (2002). *Qualitative research and evaluation methods*. (3rd ed.). London: Sage Publications.

Paton, R. & Foot, J. (2012). Nonprofit's use of awards to improve and demonstrate performance: Valuable discipline or burdensome formalities? *Voluntas, 11*(4), 329–353.

Pfohl. J. (2006). *Participatory evaluation: A user guide*. New York: USAID.

Republic of Kenya. (2012). *Kenya social protection sector review*. Nairobi: Ministry of State for Planning, National Development and Vision 2030.

Republic of Kenya. (2013). *Public Benefit Organization Act 2013*. Nairobi: Government Printers.

Ritchie, W. & Kolodinsky, R. (2013). Nonprofit organization financial performance measurement: An evaluation of new and existing financial performance measures. *Nonprofit Management and Leadership, 13*(4), 367-378.

Shapiro J. (2011). *Monitoring and evaluation*. Retrieved October 1, 2016 from https://civicus.org/view/media/Monitoring%20and%20Evaluation.pdf

Sollis, P. (2013). Multilateral agencies, NGOs and policy reform. *Development in Practice, 2 (3),* 163-178.

Stem, C., Margoluis, R., Salafsky, N. & Brown, M. (2014). Monitoring and evaluation in Conservation: A review of trends and approaches. *Conservation Biology, 19*, 295 -309.

Szper, R., & Prakash, A. (2011). Charity watchdogs and the limits of information-based regulation. *Voluntas, 22*(1), 112.

UNAIDS (2008). *Organizing framework for a functional national HIV monitoring and evaluation system.* Geneva: UNAIDS.

UNDP. (2007). *Who are the question-makers? Participatory evaluation Handbook.* New York: UNDP.

UNDP (2011). *A capacity development plan for CSOs in the Pacific.* Fiji Islands: UNDP Pacific Centre.

Vivian, J. (2014). NGOs and sustainable development in Zimbabwe. *Development and Change, 25,* 181-209.

White, K. (2013). *Evaluating to learn: Monitoring & evaluation best practices in development INGOs.* Retrieved October 1, 2016 from https://dukespace.lib.duke.edu

World Bank. (2005). *Tamil Nadu nutrition project implementation volume.* Washington, DC: The World Bank, Population, Health and Nutrition Department.

World Bank. (2011). *Monitoring & evaluation: Some tools, methods and approaches.* Washington, D.C.: The World Bank.

Yang L., Sun, G. & Martin, J. (2008). *ICA working paper making strategy work: A literature review on the factors influencing strategy implementation.* Bern, Switzerland: Lugano Publishers.

Yuchtman, E. & Seashore, S. E. (2010). A system approach to organizational effectiveness. *American Sociological Review, 32*(4), 891-903.

Appendix I: Transmittal Letter

Peter Maina Kamau,

Department of Extra-Mural and Distance Learning

Faculty of Continuing and Distance Education,

University of Nairobi,

Date …………………………….

Dear Respondent,

PARTICIPATION IN ACADEMIC RESEARCH

I am a Master of Arts (MA) student at the University of Nairobi, Department of Extra-Mural and Distance Learning, Faculty of Continuing and Distance Education. I am currently undertaking an academic research in partial fulfillment for the award of a Master of Arts degree in Project Planning and Management. I am carrying out a study on the "*the factors influencing performance of monitoring and evaluation systems at Aga Khan Foundation, Nairobi, Kenya.*"

In this regard, I'm kindly requesting for your support in terms of time, and by responding to the attached questionnaire. Your accuracy and honest response will be critical in ensuring that the study is significant. It is not necessary to write your name on this questionnaire. The data that will be provided will be treated with utmost confidentiality and only used for the purpose of this research and to enhance knowledge in the field of Project Planning and Management. Your contribution towards this field of knowledge will be esteemed. Thank you.

………………………..

Peter Maina Kamau

L50/60460/2010

Researcher and Student

University of Nairobi

Appendix II: Questionnaire for Project/M&E Staff

This questionnaire is prepared to facilitate in the collection on the "*the factors influencing performance of monitoring and evaluation systems in Aga Khan Foundation, Nairobi, Kenya."* The information gathered will only be used for the study. The information provided will be combined with that from other respondents and therefore, cannot be traced back to you. Your participation is also voluntary. From the researcher's perspective, there is no right or wrong answer, so don't spend a lot of time on any one item. Read the questions keenly and answer accordingly. The questions will be filled by ticking (√) the appropriate one or giving short answers to the open ended questions.

Section A: Demographic information

1. Please indicate your Gender   Male [ ]   Female [ ]

2. Please indicate your age bracket.

    Below 20years [ ]   20-29 years [ ]   30 - 39 years [ ]

    40 -49 years [ ]   50 years and above [ ]

3. Indicate using a tick (√) your level of education?

    Diploma [ ]   Bachelor's Degree [ ]   Master's Degree [ ]

    Other, specify _____

4. How many years have you worked in M&E of projects?

    Less than 1 year [ ]   0-2years [ ]   2-3years [ ]   3-4years [ ]   4-5years   [ ]
    Above 5years [ ]

Section B: Training and Expertise in M&E and its Influence on the Performance of M&E Systems

5. How would you rate the performance of the M&E system?

    Very effective [　]　　Effective [　]　Ineffective [　]　　Very ineffective [　]

    Don't know [　]

    Explain your answer in number four (4) briefly.

    _____

    _____

6. Do you have any difficulties in using the M&E system?

    Yes [　]　　　　No [　]

    If yes in number four (5), what do you think is contributing to the difficulty?

Response	Tick where Appropriate
Selected tools and techniques	
The role of management to the operations of the M&E	
The adequacy of M&E training	
Technical expertise of the staff	

7. Have you had any training on M&E systems??

    Yes [　]　　　　No [　]

    If no explain _____

8. How would you rate the training on M&E system in this organization?

    Very comprehensive [　]　　　Comprehensive [　]　Incomprehensive [　]

    Very incomprehensive [　]　　Don't know [　]

9. How would you rate the training on M&E systems in terms of its relevance, to the following? In order of relevance using the scale of 1 to 4. Where 1 is the "very relevant" and 4 is "not relevant."

Response	Tick where Appropriate			
	1	2	3	4
Contribution to the general performance of the M&E system				
Induction of local M&E experts				
Increase the quality of the M&E human resource				
The contents of the training in regard to the performance of the M&E system				
Increase staff technical expertise				
Capacity building of personnel				
Understanding of the operations of the M&E system				
Accessibility to information				

10. What is the competence of the other staff handling the M&E system?

Very competent [   ]   Competent [   ]   Incompetent [   ]

Very incompetent [   ]   Don't know [   ]

Explain your answer in number nine (9) briefly.

_____

_____

_____

11. What would you say is the composition of M&E experts in this project?

Response	Tick where Appropriate				
	0% - 20%	20% - 40%	40% - 60%	60% - 80%	80% - 100%
M&E International consultants					
M&E Local consultants					

Section C: Level of Funding and Performance of M&E Systems

12. Who funds the activities of the organization? Tick appropriately in the Table below.

%　Source	0 - 20%	20 - 40%	40 - 60%	60 - 80%	80 - 100%
Government(s)					
Other NGOs					
General public					
Corporate entities					
Individual entities					
Others					

13. In each project, what is the approximate percentage of funds used on monitoring and evaluation activities?

Less than 10% [   ]   Between 10% and 20% [   ]   Less than 30% [   ]

Other (specify and explain briefly where possible).

_____

_____

_____

14. Would you consider the amount approximated in number twelve (12) adequate for M&E activities in the organization?

Yes [ ]   No [ ]

Explain briefly

_____

_____

_____

Section D: Adherence to Corporate Governance and its Influence on the Performance of M&E Systems

15. How would you rate the role of management towards the performance of the M&E system?

Very prompt [ ]   Prompt [ ]   Late [ ]

Very late [ ]   Impromptu [ ]   Don't know [ ]

16. What would you say about the role of management in regard to acting on the project demands and improvements?

Very adequate [ ]   Adequate [ ]   Inadequate [ ]

Very inadequate [ ]   Don't know [ ]

17. How would you rate the use of information from the M&E system by the management in the following areas? Using the scale of 1 to 4, where 1 is "highly used" and 4 is "least used."

	Tick where Appropriate			
Response	1	2	3	4
Making decisions				
Formulating policies				
Planning				

	1	2	3	4
Project impact assessment				
Sharing with other NGOs in the sector				
Project improvement				

18. How would you rate the role of management towards the performance of M&E systems in your organization?

	Tick where Appropriate			
Response	1	2	3	4
Contribution to the general performance of the M&E system				
Induction of local M&E experts				
Increase the quality of the M&E human resource				
The contents of the training in regard to the performance of the M&E system				
Increase staff technical expertise				
Capacity building of personnel				
Understanding of the operations of the M&E system				
Accessibility to information				

19. Which category of individual is responsible for the performance of the following project activities?

	Tick where Appropriate		
Response	Project manager	Project staff	M&E staff
Monitoring			
Evaluation			
M&E system			

Section E: Tools and Techniques and its Influence on the Performance of M&E Systems

20. Name the tools and techniques used in the M&E system of this organization.

_____

_____

_____

_____

21. How would you rate the applicability of these tools and techniques?

Very easy [   ]   Easy [   ]   Difficult [   ]   Very difficult [   ]

Don't know [   ]

Explain your answer in number sixteen (16) briefly.

_____

_____

_____

22. What other tools and techniques would you recommend for this M&E system?

_____

_____

_____

23. How would you rate the relevance of proper use of tools and techniques on performance of M&E?

Response	Tick where Appropriate			
	1	2	3	4
Contribution to the general performance of the M&E system				
Induction of local M&E experts				
Increase the quality of the M&E human resource				
The contents of the training in regard to the				

performance of the M&E system				
Increase staff technical expertise				
Capacity building of personnel				
Understanding of the operations of the M&E system				
Accessibility to information				

Section F: Factors Influencing Performance of Monitoring and Evaluation Systems

24. Rank the following Factors in order of priority in enhancing the performance of M&E system, using the scale of 1 to 4. Where 1 is the "highest priority" and 4 is the "lowest priority."

Factors	Rank in order of Priority
Staff training and expertise in M&E	
Level of funding	
Adherence to corporate governance	
Selection of tools and techniques for M&E	

25. What recommendations would you give to help improve the M&E systems used in projects by INGO sector?

_____

_____

_____

_____

---End of Questionnaire---

Thank you for your Time

Appendix III: Interview Guide for Programme Managers

Section A: Demographic information

1. Gender   Male [ ]   Female [ ]

2. Age bracket.

   Below 20years [ ]   20-29 years [ ]   30 - 39 years [ ]

   40 -49 years [ ]   50 years and above [ ]

3. Level of education?

   Diploma [ ]   Bachelor's Degree [ ]   Master's Degree [ ]

   Other, specify _____

4. How many years have you worked in M&E of projects?

   Less than 1 year [ ]   0-2years [ ]   2-3years [ ]   3-4years [ ]   4-5years   [ ]
   Above 5years [ ]

Section B: Training and Expertise in M&E and its Influence on the Performance of M&E Systems

5. How would you rate the performance of the M&E system?

   Very effective [ ]   Effective [ ]   Ineffective [ ]   Very ineffective [ ]

   Don't know [ ]

   Explain your answer briefly.

   _____

   _____

6. Do you have any difficulties in using the M&E system?

   Yes [ ]   No [ ]

   If yes, what do you think is contributing to the difficulty?

Response	Tick where Appropriate
Selected tools and techniques	
The role of management to the operations of the M&E	
The adequacy of M&E training	
Technical expertise of the staff	
Others, give remarks	

7. Have you had any training on M&E systems??

   Yes [ ]   No [ ]

8. How would you rate the training on M&E system in this organization?

   Very comprehensive [ ]   Comprehensive [ ]   Incomprehensive [ ]

   Very incomprehensive [ ]   Don't know [ ]

9. How would you rate the training on M&E systems in terms of its relevance, to the following? In order of relevance using the scale of 1 to 4. Where 1 is the "very relevant" and 4 is "not relevant."

	Tick where Appropriate			
Response	1	2	3	4
Contribution to the general performance of the M&E system				
Induction of local M&E experts				
Increase the quality of the M&E human resource				
The contents of the training in regard to the performance of the M&E system				
Increase staff technical expertise				
Capacity building of personnel				
Understanding of the operations of the M&E system				

10. What is the competence of the other staff handling the M&E system?

Very competent [   ]   Competent [   ]   Incompetent [   ]

Very incompetent [   ]   Don't know [   ]

Explain your answer briefly.

_____

_____

_____

11. What would you say is the composition of M&E experts in this project?

Response	Tick where Appropriate				
	0% - 20%	20% - 40%	40% - 60%	60% - 80%	80% - 100%
M&E International consultants					
M&E Local consultants					

Section C: Level of Funding and Performance of M&E Systems

12. Who funds the activities of the organization?

% Source	0 - 20%	20 - 40%	40 - 60%	60 - 80%	80 - 100%
Government(s)					
Other NGOs					
General public					
Corporate entities					
Individual entities					
Others					

13. In each project, what is the approximate percentage of funds used on monitoring

and evaluation activities?

Less than 10% [   ]   Between 10% and 20% [   ]   Less than 30% [   ]

Other (specify and explain briefly where possible).

_____

_____

_____

14. Would you consider the amount approximated in number thirteen (13) adequate for M&E activities in the organization?

Yes [ ]   No [ ]

Explain briefly

_____

_____

_____

Section D: Adherence to Corporate Governance and its Influence on the Performance of M&E Systems

15. How would you rate the role of management towards the performance of the M&E system?

Very prompt [ ]   Prompt [ ]   Late [ ]

Very late [ ]   Impromptu [ ]   Don't know [ ]

16. What would you say about the role of management in regard to acting on the project demands and improvements?

Very adequate [ ]   Adequate [ ]   Inadequate [ ]

Very inadequate [ ]   Don't know [ ]

17. How would you rate the use of information from the M&E system by the management in the following areas? Using the scale of 1 to 4, where 1 is "highly used" and 4 is "least used."

	Tick where Appropriate			
Response	**1**	**2**	**3**	**4**
Making decisions				
Formulating policies				
Planning				
Project impact assessment				
Sharing with other NGOs in the sector				
Project improvement				

18. Which categories of individuals are responsible for the performance of the following project activities?

	Tick where Appropriate		
Response	Project manager	Project staff	M&E staff
Monitoring			
Evaluation			
M&E system			

Section E: Tools and Techniques and its Influence on the Performance of M&E Systems

19. Name the tools and techniques used in the M&E system of this organization.

   _____

   _____

   _____

   _____

20. How would you rate the applicability of these tools and techniques?

   Very easy [   ]   Easy [   ]   Difficult [   ]   Very difficult [   ]

   Don't know [   ]

Explain your answer in number sixteen (16) briefly.

_____

_____

_____

What other tools and techniques would you recommend for this M&E system?

_____

_____

_____

Section F: Factors Influencing Performance of Monitoring and Evaluation Systems

21. Rank the following Factors in order of priority in enhancing the performance of M&E system, using the scale of 1 to 4. Where 1 is the "highest priority" and 4 is the "lowest priority."

Factors	Rank in order of Priority
Staff training and expertise in M&E	
Level of funding	
Adherence to corporate governance	
Selection of tools and techniques for M&E	

22. What recommendations would you give to help improve the M&E systems used in projects by INGO sector?

_____

_____

_____

_____

_____