

**AN ASSESSMENT OF THE IMPLEMENTATION OF RESULTS BASED
MANAGEMENT APPROACH IN NON-GOVERNMENTAL
ORGANIZATIONS: A CASE STUDY OF THE ECUMENICAL
PHARMACEUTICAL NETWORK**

BY

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DECLARATION

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

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DEDICATION

This research is dedicated to my loving best friend and husband; Gerald, my two smart and caring football star sons; Taku and Tapi and my lovely artistic daughter Atida.

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ABSTRACT

The increased pressure for accountability by Non-Governmental Organizations (NGOs) to demonstrate to funders and various stakeholders that resources have indeed been used to achieve intended results has increasingly led to the adoption of Results Based Management (RBM) in NGOs. The main focus of the study was on the use of the RBM approach in NGOs focusing specifically on a single NGO; the Ecumenical Pharmaceutical Network (EPN). The study determined how planning in the context of the results based monitoring and evaluation system was done, how it is being operationalised and implemented, narrowing down specifically to whether the monitoring and reporting practices are in line with RBM approach and principles.

RBM is an extensive management approach whose main focus is on achieving results. Both quantitative and qualitative research methods were used and questionnaires were sent via survey monkey, key informant interviews were also done in addition to secondary data review of organizational documents. Findings revealed that the monitoring and evaluation system was mostly in line with RBM practice albeit some challenges. The planning was well formulated with a strategic plan and intervention logic was well understood. The organization emphasizes on the higher level results or intended change in their planning so that the planning is done with the ultimate goal in mind. Monitoring was a routine process in the organization with indicators at all levels of results. Baseline assessments were mostly done at the start of interventions to allow for comparison at the end of the intervention.

Decisions for current and future interventions are made by management and project officers based on the findings from the weekly and monthly reflective meetings and progress reports. The major challenges identified were capacity challenges especially

for data collection and analysis. There were also gaps in data storage as data was at times not systematically stored on the central online server for easy retrieval. Risk analysis and risk monitoring were also not done comprehensively. Some project budgets did not have budget lines allocated for M&E. As a network organization, the involvement of key stakeholders in the problem mapping and analysis is vital and findings revealed that stakeholder participation was not comprehensive especially in the short to medium term plans. The staff incentives were not well structured in terms of aligning them to the results and this is imperative in results based management practice. In conclusion, findings revealed that the monitoring and evaluation system was mostly in line with RBM practice albeit some challenges.

Recommendations of the study are that there is need for constant capacity building of staff in both data collection and analysis to augment the current training efforts in the organization. In addition to training there is need to put into practice knowledge gained through exposing the staff to actual data collection and analysis as they tend to forget with time. The storage of data needs to be in a systematic way as the retrieval of data is key in establishing and measuring outcomes and impact. There is need for training in risk analysis, monitoring and the coming up of risk mitigation plans. There should be funding allocated to M&E for all the programmes and projects that the organization implements. Another recommendation is that to able be measure and monitor results on outcomes, there is a need to use techniques that simplify the data collection such as Lot quality assurance sampling (LQAS).

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LIST OF ABBREVIATIONS AND ACRONYMS

AIDS	Acquired Immunodeficiency Syndrome
AKAM	Aga Khan Agency for Microfinance
EPN	Ecumenical Pharmaceutical Network
FBOs	Faith Based Organizations
HIV	Human Immunodeficiency Virus
KII	Key informant interviews
LQAS	Lot Quality Assurance Sampling
M&E	Monitoring and Evaluation
NGOCC	Non-Governmental Organizations Coordinating Council
RBM	Results Based Management
RBM&E	Results-based M&E
NGOs	Non-Governmental Organizations
NIMES	National Integrated Monitoring and Evaluation Systems
ODK	Open Data Kit
SD	Standard Deviation
SDGs	Sustainable Development Goals
SWOT	Strengths, weaknesses, opportunities and threats
SPSS	Statistical Package for Social Sciences
TOC	Theory of Change
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
USAID	United States Agency for International Development

CHAPTER ONE: INTRODUCTION

1.1 Background of Study

The increased pressure for accountability by Non-Governmental Organizations (NGOs) to demonstrate to funders and various stakeholders that resources have indeed been used to achieve intended results has increasingly led to the adoption of Results Based Management (RBM) in NGOs. RBM is an extensive management approach whose main focus is achieving results. The United Nations Development Group defines results based management as an approach of management whereby different people indirectly as well as directly contribute to achieving results. Their processes, services as well as products should contribute to the accomplishment of intended results. There should also be use of evidence on real results to inform future management decisions. Reporting and accountability are also important in RBM (Vähämäki Janet, 2011).

RBM is a progression in management, it is not an entirely new concept of management; it has its origins and roots in earlier management sciences. The evolution in management has mainly been prompted by the advent of globalization, which had inherently brought about greater than before demands on NGOs and governments globally to be aware of the needs of key stakeholders for developmental success, transparency, good governance, accountability and attainment of results and real change. RBM is not a separate phenomenon; it is part of the wider management system. As stated by (Bester, (2012), RBM is part of the wider United Nations agenda. The reforms are there to improve unity on the main policy and operations matters in the United Nations, reinforce accountability, and advance the impact of the UN. At the centre of the UN reforms is a major focus on achievement of results. There is a shift from focusing on the processes or how things are being done to what is actually being

accomplished or realized in terms of results by the UN. RBM does not have a single model to follow rather it can be viewed as an approach that can take diverse forms. RBM has two main objectives; firstly reporting on performance with the aim to increase accountability and improvement of management through improved decision making, improved planning and learning. (Vähämäki Janet, 2011). The RBM approach puts results at the centre of the whole lifecycle of a project; right from planning through implementation, monitoring, evaluation to reporting, continuous learning and decision making. RBM is a whole system which should be integrated into an organization's programmes and projects and its entire organizational culture.

Results based monitoring and evaluation (RBM&E) is an element under the technical component of results-based management. It is different from the traditional M&E that focused on implementation and compliance. RBM&E moves away from emphasizing on compliance and lower level results – (inputs, the activities and the outputs) to a greater emphasis on higher level results – the outcomes and impact of development interventions. In other words, it further looks beyond the fact that programs and policies have been successfully implemented to a greater focus on whether actual intended change and results have been achieved. The RBM&E system makes decision makers further assess whether and also how goals or results are being accomplished. The RBM&E systems assist in finding answers to the question of “*so what?*” The question looks for answers to what if activities were done -*so what?* Have they led to successful results or outcomes or impact in the lives of the beneficiaries? RBM&E helps to respond to the ever-increasing demands for results by stakeholders.

The NGO sector is growing at a fast rate in Africa and also around the world. In the recent twenty years or so, Kenya has seen a rapid and unprecedented increase in local

NGOs in the country. The same trend has been witnessed throughout the developing world. (Hershey, 2013). The scale and increased complexity of poverty, disease burden and humanitarian crises in Africa has increased the requirement for data that is timeous and accurate so that decision making is informed and evidence-based. The data further helps to demonstrate progress towards achieving the goals set and defined results. In order to meet these requirements and justify results to the donors and development partners; NGOs need strong RBM systems to monitor, record and measure progress in achieving intended results and impact. According to the World Health Organization; current significant increases in donor support for health have been accompanied by growing demand for data to measure, track and evaluate the health programs' progress and performance. Accountability at the national and global level is key and the evaluation of impact of the programs is also very crucial. (Boerma T, 2009).

The NGO that is the targeted for this study is the Ecumenical Pharmaceutical Network (EPN). It is a faith-based international NGO that works explicitly to enhance access to medicines as well as support pharmaceutical services. The beneficiaries of EPN's services comprise church health institutions, drug supply organizations, medicines policy makers, church leaders, health professionals as well as health staff taking part in medicines management and pharmaceutical service delivery. EPN's expertise is strengthened by its network members and partners that have experience in the "field". The members, who are mostly faith-based organizations, have health facilities right at the grassroots level as they work in marginal areas where government services are limited which gives them field experience.

The pluralism of the members' approaches and best practice sharing on global health issues is a vital asset of the Network. EPN's strategic focus seeks to improve people's access to medicines and quality pharmaceutical services. It aims to support and

strengthen the church pharmaceutical sector in the developing countries mostly in Africa. EPN has over 35 years experience in supporting church pharmaceutical systems. The organization strengthens the church health systems by focusing on results-based monitoring and evaluation (M&E) that enables them track progress and show the influence of a given initiative, programme, or policy. The strategic focus areas for the NGO include: access to and rational use of medicines; maternal and child health, non communicable diseases, HIV/AIDS care and treatment; professionalization of pharmaceutical services, advocacy as well as research and information sharing.

This NGO implements its programs and projects through the network's members who are the implementing partners and are located in various Sub-Saharan African countries. EPN has a number of donors, mostly from Europe that support their programs and projects. Being an international NGO with representation in 26 Sub-Saharan African countries, there has been increased pressure from the donors and other key stakeholders such as the government, church leadership and network members to demonstrate actual results in the various projects carried out by the organization. EPN was formed in the early 1980s and did not have any formal M&E structures until five years ago. As the organization relies to a large extent on donor funds for its operations, pressure to demonstrate to the donors that their funds are making a much needed difference in the lives of patients through improved access to medicines increasingly became a "pre-requisite" to getting the next cycle of funding from the donors.

For the years since its formation, EPN was largely using a traditional implementation focused M&E approach whereby emphasis was on compliance to the activities that were planned and also ensuring that inputs were available and activities were carried out. The focus was on inputs and activities and the outputs were reported on. There was

no real focus on the higher order results; the outcomes and impact of projects and programs. This in turn led to increased pressure from donors and other key stakeholders for EPN to demonstrate if intended outcomes were being achieved from the various programs and projects' efforts. In addition the organization's management felt that evaluation had to move from being primarily a donor-driven activity to become a management and accountability tool for the organization and this is one of the tenets of RBM that there has to be accountability for the resources utilized in development work. It is against this background that from 2016 EPN set out to put a results-based monitoring and evaluation system in the organization so that they can better track progress in the attainment of intended goals in the various countries that they implement their projects under their various strategic focus areas.

1.2 Problem Statement

Over the past few years there has been widespread concern from various stakeholders about insignificant outcome and impact of the interventions carried out by NGOs thus recognizing the significance of results-based monitoring and evaluation systems in performance improvement and achievement of tangible results. EPN is in the process of finalizing the setting up of a results based management monitoring and evaluation (RBM&E) system. Setting up a RBM&E system requires rigorous steps to be followed for example: selecting key indicators to measure outcomes; getting the accurate baseline data for the selected indicators; agreeing on the actual outcomes to measure and evaluate; setting results targets; attributing project efforts to the outcomes and impact; reporting on findings and making use of these findings for decision making and continuous performance improvement. This study therefore, seeks to answer the question, to what extent does the monitoring and evaluation system implemented in the organization conform to results based management practice.

1.3 Research Question

To what extent does the monitoring and evaluation system at the Ecumenical Pharmaceutical Network conform to results based management practice?

1.4 General Objective

To assess whether the monitoring and evaluation system at the Ecumenical Pharmaceutical Network conforms to results based management practice?

1.5 Specific Objectives

- i. To assess whether the planning process for implementation of interventions at the Ecumenical Pharmaceutical Network conforms to results based management approach and principles.
- ii. To assess whether the monitoring process at the Ecumenical Pharmaceutical Network is aligned to results based management principles.
- iii. To examine whether reporting at the Ecumenical Pharmaceutical Network conforms to results based management practice.

1.6 Justification of the Study

The findings of this particular research will be an asset to Non-governmental organizations implementing health programmes in Kenya in that they can identify gaps in their implementation of RBM&E systems for those who are currently implementing it or are considering doing so within their organizations. The information generated will be used to form an evidence base for learning and further improve RBM practices in order to better realize programme goals and objectives.

RBM is a contemporary topic that warrants research especially amidst the pressure to achieve the development agenda goals by governments and non-governmental organizations. There is ever increasing pressure for justification of the use of donor funds and also accountability to various stakeholders. Impact and change on the lives

of beneficiaries has become ever more important, thus justifying the significance of this study.

Findings of this research will also be available for the donor community and other relevant stakeholders and will assist in evidence based decision making and learning. NGOs have a unique advantage in that they are usually better trusted and well accepted in society and hence can better encourage participation and impact at the grassroots level. Participation helps in results attainment of development goals and achieving change that has real impact on the lives of the communities as it allows for more appropriate and targeted interventions. The findings of this research will also help NGOs to understand the importance of results-based management in the projects they implement so that they strive harder to institutionalize the results-based management processes in their organizational processes.

The assumptions of the study are that the project staff, monitoring and evaluation officer, network members and management of EPN will be objective and honest in their answers to questionnaires, in-depth interviews and discussions as research instruments. Another key assumption is that compilation and presentation of results will be objective and in line with the research objectives. The external environment is at the same level or has no major changes to it in the short to medium term.

1.7 Scope and Limitation

The research will be carried out in the Ecumenical Pharmaceutical Network (EPN) at the secretariat in Nairobi, Kenya. The research will target 15 EPN secretariat staff. The major limitation of the study is the use of the case study approach which limits the generalization of the study findings to other public organizations.

The main focus of the study is on the use of the results based management approach in non-governmental organizations focusing specifically on a single NGO; EPN. It will entail focusing on how the results based monitoring and evaluation system was conceptualized through the theory of change and how it is being operationalised and implemented, narrowing down specifically to whether the monitoring and reporting practices are in line with results based management.

The research has been limited due to time, cost and related logistical problems. The information compiled will be used as a representation of EPN and an illustration of the situation in the NGO sector in Africa.

CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

This chapter seeks to put results based management into context in relation to preceding works by other researchers. The RBM concept is examined and its link to results based monitoring and evaluation. The history or evolution of RBM is also looked at. The chapter reviews the literature related to the study from earlier researches, in the global as well as local contexts. The purpose is to understand and appreciate issues related to implementation of RBM in NGOs, as presented and investigated by other researchers, from different sources including journals, websites, textbooks and reports that have been published on RBM and RBM&E systems in particular. It also looks at gaps in knowledge regarding the implementation of RBM, expected to be filled in part by this study. The chapter also looks at the theories and concepts that are relevant to this study.

2.2 Theoretical and Historical Perspective of RBM

From an in-depth analysis on the theoretical framework of RBM, the study established that there is no one single theory that can aptly explain RBM. This study adopts the Theory of Change (TOC) model as the theoretical basis for analyzing and understanding factors influencing outcome and impact in RBM. TOC in RBM&E is intended for facilitation of well-defined results at each step of the change process.

(Brest, (2010) , defines TOC as a particular methodology to promote social change. The methodology looks at planning, participation, and evaluation and is utilized in the not-for-profit, philanthropy, and government sectors. TOC defines long-term goals first and then does backwards mapping to identify preconditions that are necessary for attainment of the goals. (Davies, (2012), a devoted specialist in evaluation, defines TOC as the portrayal of a series of events expected to lead to particular desired results or

outcomes. There are varied hypotheses, assumptions and beliefs about how change happens in every programme and this is further compounded by the way humans work and organizational political systems. TOC is about analyzing these numerous underlying beliefs, hypotheses and assumptions on how change will come about in a project or programme. TOC focuses not just on obtaining knowledge about whether a programme is successful or effective, but also on understanding and explaining what techniques and methods it uses to be successful or effective.

TOC employs backwards mapping calling for planners to reflect backwards from the long-term goal to the intermediate followed by early-term transformations that would be needed to the desired transformation leading to linked results called “pathway of change” which graphically signifies the processes of change as it is known by the program planners and is the framework through which the other components of the theory are created. (Rosenau, 2018). TOC is important in a number of ways for instance, it is a foundation for a strategic plan as it works systematically from the need that is being addressed to the change to be achieved. (Connell & Kubisch, 1998).

TOC is traced by experts back to the late 1950s and ‘Four Levels of Learning Evaluation Model’ of Kirkpatrick. Program theory approaches started to call on planners in the 1960s to plainly articulate the connection between inputs as well as outcomes, and how their programs were meant to work. The term TOC is used to explain the connection between interventions as well as results, and the series of steps for realizing the long-term objectives (Rogers & Funnell, 2011)

TOC emerged in the mid 1990s from the field of program theory and program evaluation. It emerged as a new means of examining the theories motivating interventions working for developmental change. (Weiss, (1995). TOC constitutes part

of the program theory that is as an improvement of the evaluation theory. (Stein, (2012). TOC serves as a tool for coming up with solutions to multifaceted societal problems. TOC gives a comprehensive picture of short and intermediate term changes that are required to accomplish goals. RBM is about change and achieving results and goals. TOC therefore provides a model and roadmap to guide RBM. It depicts the intervention logic, which can be substantiated and refined through M&E. It helps to form the basis for planning, implementation and evaluation. As stated by (CARE, (2013) most projects have a TOC, although they are usually assumed. The TOC assists in developing understandable frameworks for RBM&E. TOC is mainly used to articulate long term goals and impact on projects and programmes by developmental organizations and donors (James, 2011). Analyzing the TOC of the NGO in this study will provide a framework to assess the implementation of RBM approach in the NGO.

The TOC, commonly presented in a diagrammatic illustration or a table like a detailed logical framework, serves as a basis for future planning and RBM&E activities. It is best to develop the TOC explicitly to cover all aspects of a programme before undertaking the activities, but this is not always possible. Sometimes, the process is reactive due to the dynamic environment affecting original plans. In summary the TOC is a guide for the three main phases of project/programme implementation: the planning phase; the implementation or action phase and the performance management including accountability and decision making from lessons learnt phase. These are in line with the four main pillars of RBM.

According to (UN-Habitat, (2013), the TOC shows the cause and effect relationship between the various levels of results, from the outputs to the outcomes right to the long term goal or desired change. The TOC expands on the results framework or chain and

provides flexibility to change course based on internal and external environmental factors. In other words, it could also be referred to as a results cloud as it clearly articulates the different levels of results and included assumptions in the results chain. The UN-Habitat is an example of an organization that uses the TOC as an approach oriented on results. The system that the organization and its partners operate is complex and the TOC makes it easier to analyze and understand the complex system. The organization uses the TOC to plan for actions that are likely to bring about change in the lives of the beneficiaries. (UN-Habitat, (2013).

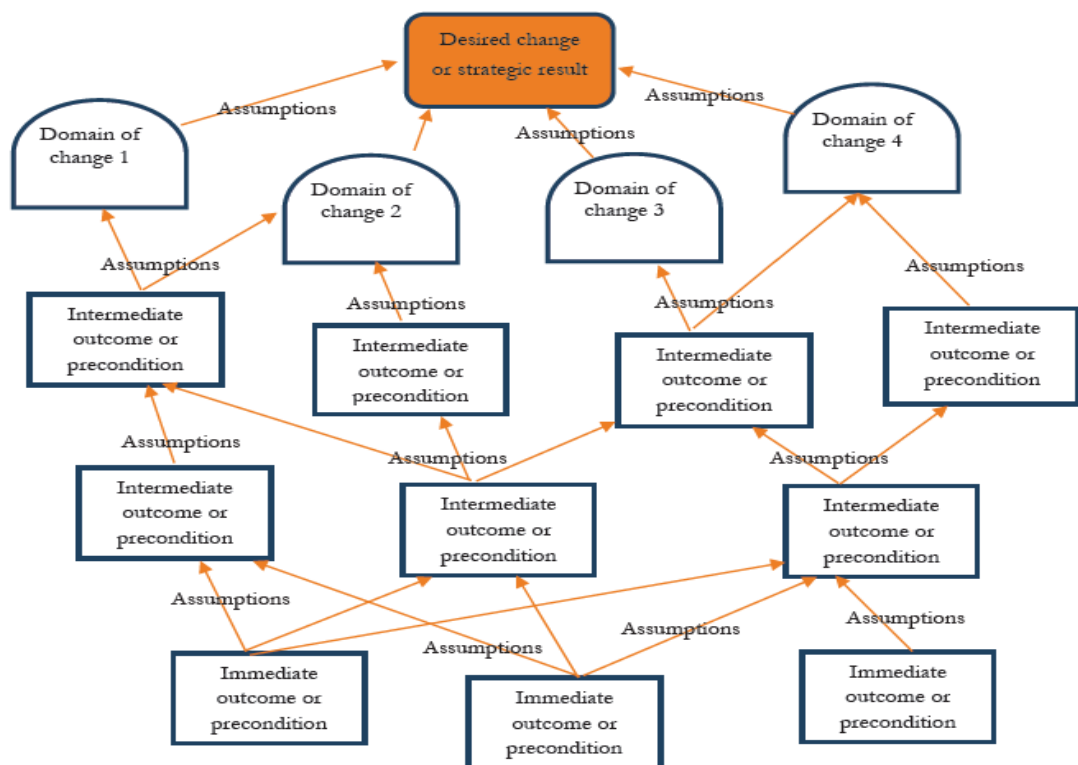


Figure 2.1: Example of Theory of Change Diagram (UN-Habitat)
Source: UN-Habitat Results-Based Management Handbook

This TOC is relevant to the present study as it indicates the manner in which results are expected to occur in the short, medium as well as long-term. A TOC is initiated at the commencement of an intervention in order to facilitate planning or to outline the project or program for evaluation and applies to complex as well as simple projects. It explains whether failure to realize expected outcomes is a result of implementation failure or to

concept failure through linking of information regarding processes with information regarding outcomes across sites. (Rosenau, 2018). Results ought to be grounded on a well articulated TOC that will direct the various phases of the project or programme implementation. The TOC helps to give a roadmap for achieving results.

TOC , however also has a number of limitations for instance there have been criticism that the theory tends to be too linear, presuming that inputs result in outputs, and that outputs result in outcomes. This happens occasionally however anybody conversant with systems reflection will be doubtful of linear justifications, particularly where difficult social occurrences for instance homelessness, poverty or isolation are concerned. Also difficulties could possibly occur as a result of the rigidity between accountability to donors on the one hand, usually regarded as a priority with regards to the RBM agenda and learning from the interventions to further improve. (Laing & Todd, 2015).

According to (Rasappan, 2010), the evolution of RBM is that it is believed to have started as Management by Objectives (MBO) with Peter Drucker in 1964. It later evolved into Program Performance Budgeting System (PPBS) in the 1960s and in the 1970s it evolved into the use of logical framework for the public sector. Various countries adopted it in the 1980s and 1990s using different forms and names. It has now a widely accepted and proven approach used for improving public sector efficiency, effectiveness, accountability and transparency.

RBM is a progression in management, it is not an entirely new concept of management; it has its origins and roots in earlier management sciences. The evolution in management has mainly been prompted by the advent of globalization, which had inherently brought about increased pressures organizations on governments globally to

be more receptive to the demands of both internal and external stakeholders. There are demands for delivery of tangible results, transparency, accountability, good governance and greater development effectiveness. These increased demands have led to growing need for enhanced RBM&E of projects, programs, and policies. (Jody Zall Kusek, 2004).

RBM came at a time of unprecedented pressures in the development aid sector and at the advent of globalization. The development aid sector became widely linked to poor performance, lack of accountability and transparency. The realization of the requirement of much more effective, efficient and focused, development organizations was progressively more raised. United Nations Development Programme (UNDP) in particular faced strong pressures at the global level to address aid effectiveness and streamline its activities. The pressures were so serious that the UNDP funding was reduced during the 1990s. This reduction brought about reforms that led to the adoption of an effective RBM approach. The reduction in funding made UNDP comply with the emerging results-oriented rules and standards in the public sector. From that time, RBM has been a key priority for management at UNDP after regaining the confidence of the public and stabilizing its resource base. The fear of reduction of UNDP's programmes has since continued following that incident of reduced funding. (UNDP , 2007).

In addition The Paris Declaration on Aid Effectiveness of 2005 and the Accra Agenda for Action of 2008 further placed emphasis on: ownership of development programmes by beneficiaries; harmonization of donor efforts; alignment of resources to priorities of the partner countries; managing for results and mutual accountability by both the donors and partner countries. (OECD, 2005,2008). This further brought about pressure to implement RBM. The Millennium Development Goals-MDGs (2000-2015) which evolved into the current Sustainable Development Goals-SDGs (2015-2030) have

further brought about pressure to achieve the clearly spelt out goals with performance indicators. These need RBM to track performance and make decisions to further improve performance with the aim of achieving intended results and ultimately the development goals.

2.3 Results Based Management

According to (CIDA, (1999): the introduction of a RBM improves the accountability and effectiveness of management through the definition of realistic intended results, monitoring progress towards the attainment of the results, incorporating lessons learnt into the decision-making of management and reporting on performance. RBM can be defined as a team-based and participatory approach to management intended to improve programme management, efficiency, effectiveness and accountability. In simple terms, (Mayne, (2004) defines RBM as a strategy in management designed to achieve key changes in the way organizations function with results as the central orientation.

In RBM, all stakeholders contributing either directly or indirectly to the result; map out their processes, activities and outputs to show clearly how they contribute to the ultimate result. RBM is about identifying a destination first, after that deciding on the roadmap to reach the desired goal then checking against the map and making adjustments as needed along the way, in order to accomplish the desired results.

RBM focuses on achieving defined results. Results can be defined as observable and measurable or describable change in a state that is derived from a cause and effect relationship. (Kusensio, (2016) defines results as the effects of interventions. Such effects can be positive or negative and can be intended or unintended. Results can be divided into three levels: outputs; outcomes and impact described briefly below.

Outputs

The first level of results are the outputs. These are the direct products or most immediate effects of activities. They are mainly in the form of the products and services that are produced by an intervention. These include changes arising from the intervention that are pertinent to the attainment of higher level results or outcomes. Outputs are the results over which you have most control for example increase in the knowledge, skills or abilities and capacities of individuals or organizations, or the availability of products and services that are as a result of the completion of intervention activities. Outputs are realized with the resources availed and within a specified time period. (UN-Habitat, (2013)

Outcomes

The second level of results are the outcomes. These are the likely or achieved medium-term effects of the outputs. The direct control is less as compared to the outputs. The outcomes are however important as they signify the changes that are tangible that an intervention is seeking to achieve for example change in behavior. (UN-Habitat, (2013) defines outcomes as showing changes in the behavioral and institutional capacities for development conditions that occur between the achievement of outputs and the accomplishment of goals.

Impact

Impact is the third level of results. Impact makes up the ultimate change that was desired by an intervention. Impact represents the underlying goal of an intervention and justifies the intervention. Impact refers to changes in people's lives. Impact is comprised of the primary and secondary long-term effects of an intervention for example a decrease in the infant mortality rate. They can also be positive or negative; intended or unintended;

direct or indirect. Impact is usually the result of numerous coordinated interventions which activities from one project alone may not achieve.

RBM moves away from emphasis on lower level results- the inputs, activities and processes, to an emphasis on higher level results. It focuses on the changes and achievements that are as a result of the intervention. There is also a great emphasis on learning and the use of information on results to enhance decision making. Management is called upon to continually reflect on whether the implementation of activities and the intervention outputs will lead to the achievement of desired outcomes. RBM is about the effectiveness of the implementation. RBM can be seen as a way of thinking or mindset; it is not a tool. It is a way of working that focuses further than activities, products, processes and services. It looks at actual societal and economic changes and benefits of interventions at the beneficiaries' level. RBM is a system, and as every system; the various components of RBM must work harmoniously and in a coordinated manner for it to be successful and effective.

(Kusensio, (2016) argues that RBM cannot be separated from monitoring and evaluation. For RBM to be successful; there is need for strong monitoring and evaluation processes to be in place. RBM gives a management framework that helps in giving structure in managing for results attainment. The approach also provides tools for strategic planning; risk analysis and management and performance M&E. (Forss, 2002) explains that the primary rationale of RBM is to fulfill accountability obligations through performance reporting and also improve efficiency and effectiveness through organizational learning. Key stakeholders including beneficiaries are important in the success of RBM. These need to be involved throughout the management cycle; from defining realistic outcomes, risk assessment, the monitoring of progress, reporting on performance and incorporating lessons learnt into management decision making.

(Kusensio, (2016) further asserts that RBM gives structure and logic for identifying intended results and the preconditions necessary to achieve them in the form of the resources required and activities necessary to achieve them. RBM helps keep an organization focused and on track to achieve the expected results all through the process. In RBM, focus is more on results and not on inputs or budget control or the compliance on implementation of activities. Measuring results helps a team understand to a greater extent and improve their performance and also see the value of their work and efforts.

2.4 Literature from other research on Results Based Management

A study in Zimbabwe by (Gwata, (2013) that explored the factors influencing the implementation of Result Based Management (RBM) in the Zimbabwean public service found that insufficiency of information and skills, attitude and financial resources affect the effective implementation of RBM. It was similarly established that there was insufficient performance by management in planning as well as performance evaluation practices which are key RBM components. It was also revealed that managers especially the ones in line ministries were executing strategy devoid of the required capability to enable the attainment of RBM benefits. The study recommended that a result based capacity building model out to be initiated to provide managers with the necessary capacity.

(Kasule, 2016) conducted a study in Uganda whose aim was to evaluate the factors influencing the Results Based Monitoring and Evaluation system application by Nurture Africa. The study revealed that management support, organizational capacity and use of baseline information influenced the capacity of Nurture Africa employees to report project results as well as impact. This study recommended that Nurture Africa

invest in capacity building for employees in RBM. It also recommended that 5-10% of funds of each project ought to be apportioned for M&E. Also, baseline ought to be conducted and findings utilized.

(Eitu, 2016) in a study in Uganda to determine the success factors for adoption of a RBM&E approach in Care Uganda established that institutional factors have a substantial positive effect on the adoption of result-based M&E.

Similarly, it was established that a monitoring and evaluation framework exists at the organization and a number of employees admitted either contributing to it towards its development, utilizing it or familiar with it. Furthermore, the results indicated that the organization carries out baseline studies for every program and that the M&E results are utilized by management in decision making processes. Even though substantial steps had been made, the study recommended that much more could have been achieved and that the organization ought to formulate well-articulated reward system as well as criteria of awardees selection and give them to each personnel with regular reminders. Also the system ought to be mainstreamed into the organizational training materials to deal with the fresh comers.

(Kusensio, (2016) conducted a study in Zambia that sought to establish the role of RBM and challenges the Non-Governmental Organizations Coordinating Council (NGOCC) member organizations face in the RBM. The study employed a non-experimental research design using descriptive research to establish the facts on the ground. Primary and secondary data was obtained. The findings of the study revealed that even though organizations are aware of the significance of M & E procedures, the key challenges facing member organizations in the M&E practices comprised ineffective organization capability due to insufficient staff, low education levels as well as lack of customized

training in the M&E practices. It was concluded that donors ought to give customized training in M&E as well as report writing; technical support and guidance; and enhance budget allocation to M&E practices as well as recruiting an M & E officer for the project phase.

Locally in Kenya, (Mulandi, 2013) carried out a research in Kenya whose aim was to investigate the factors affecting performance of M&E systems of NGOs in the governance sector. The research adopted a survey methodology with a population of 40 program officers as well as 5 program managers. All program officers were interviewed with a systematic sampling technique adopted to sample program managers. Data was collected by way of questionnaire as well as an interview guide. The findings of the research revealed that, there was regular data collection with data analysis conducted majorly using software. Conversely, software use for data analysis experienced challenges of storage as well as processing. Furthermore, it was established that program officers had the training as well as experience in the adoption of M&E approaches. Finally, it was revealed that the selection of quantitative measures relative to qualitative measures was high. Another finding was that baseline surveys were carried out prior to project implementation. The research recommended that non-governmental agencies ought to ensure regular data audit, carry out preliminary evaluation of the effects of interventions through carrying out case studies as well as to integrate the adoption of the logical outline with outcome mapping.

(Apiyo A. O., 2013) conducted a study in Kenya that sought to assess the impact of results based M&E approach on development projects with APHIA Plus in Mombasa County as the case study. The study population consisted of 100 respondents whereby 60 were randomly picked beneficiaries drawn from the eight components of APHIA Plus divisions in Mombasa County and 40 were purposively picked key informants

from the APHIA Plus coast Tudor office Mombasa, comprising project officers as well as coordinators, data clerks and program directors, research and metrics officers. From the results it was revealed that accountability affects the effectiveness of the RBM&E. In addition, it was established that transparency as well as accountability results in results based projects' effectiveness. It was similarly revealed that capacity affects the effectiveness of the RBM&E approach and that developing personnel capacity results in success of results based projects. It was concluded that there ought to be enrichment of capacity, community programs, partnerships as well as accountability by program managers as well as other stakeholders to enhance awareness on the need for results to make lives of project beneficiaries better as well as its general role of improving national prosperity. It was also recommended that there ought to be job training of program staff as well as the increase in awareness by project stakeholders on results based programs' effectiveness with public, private as well as community participation by way of an integrated program management system.

(Kamara, (2016) also conducted a study in Kenya to examine the influence of implementation of results-based M&E on service delivery in the Ministry of Education, Science & Technology. The study findings revealed that service delivery in education is evaluated by M&E and customer satisfaction surveys carried out yearly. It was established that the desired changeover rates target set by the Ministry have never been realized in primary to secondary as well as secondary to university. The study recommended that education sector stakeholders ought to consider service delivery in an all-inclusive manner instead of using secluded components and that government via National Integrated Monitoring and Evaluation Systems (NIMES) ought to examine the RBM&E system in education sector to deal with its limitations.

(Kamau, (2017) also in his study conducted on NGOs with a case study of Aga Khan Foundation in Nairobi, Kenya aimed at evaluating the factors influencing performance of monitoring and evaluation systems at the foundation. A descriptive survey methodology was adopted by the study. The population comprised 5 program staff as well as 25 M&E staff. A census survey was used whereby all the 30 participants were involved. The findings of the study revealed that training as well as expertise of monitoring and evaluation employees is key for an efficient M&E system at Aga Khan Foundation. The findings similarly indicated that M&E being a new profession, training is vital towards enhancing an M&E workforce for effective management of M&E. It was recommended by the study that training ought to be consistent within the foundation so as to facilitate the orientation of local M&E specialists and to enhance the effectiveness of M&E workforce. It was also recommended that there ought to be capacity building with emphasis on M&E training within the foundation. Lastly it was concluded that M&E practices ought to be apportioned at most 10% of the budget in line with the World Bank recommendation.

(Catherine, (2016) also conducted a research in Kenya that aimed to evaluate factors affecting the implementation of M&E: A Case of Aga Khan Agency for Microfinance (AKAM) Outreach Program in Mombasa County. The target population comprised 32 staff at the organization. The findings revealed that donor policies, staff competency, resources adequacy as well as stakeholders substantially affected the implementation of M&E. The study hence recommended that, for effective as well as successful M&E, there ought to be a strong emphasis on the sort of personnel to hire for the process (staff competency). Similarly, there ought to be apportionment of M&E resources for instance human resources, funds as well as other infrastructure resources. Furthermore, donors ought to be considered in each stage of establishing as well as

formulating M&E policies at AKAM which ought to be done simultaneously with the focus on the stakeholders.

Both the literature on the previous researches both global as well as local do not explicitly look at how the theory of change, monitoring and reporting processes in the organizations conform to RBM practice in the non-governmental organizations in the Kenyan context, a number of the studies focus on the challenges of result based approach to monitoring and evaluation in different contexts. This study therefore seeks out to fill the existing literature gap and adding to the body of knowledge by examining the use of result based approach to monitoring and evaluation in Kenyan non-governmental organizations in the context of The Ecumenical Pharmaceutical Network.

2.5 Implementing a Results Based Management M&E System

Achieving the Sustainable Development Goals (SDGs) for 2015 to 2030 adopted by the UN requires a well-structured RBM approach to the planning and implementation of development interventions, in addition to a strong M&E system. Planning and achievement of results have progressively received more attention at global, regional and country levels as shown by evidence. The major challenge however, is that the results are not clearly factored into the processes of planning and budgeting. Often in practice, the interventions manage the implementers as opposed to them managing them. Experience and evidence show that clarity in the direction to follow leads to enhanced performance, efficiency and effectiveness by programme managers policy makers and planners. (UN-Habitat, (2013)

For a more structured RBM&E system, literature suggests that a number of organizations including EPN, have implemented their systems guided by the World Bank Handbook titled “10 Steps to a RBM&E System” (Jody Zall Kusek, 2004).The

ten steps start with conducting a readiness assessment, and go through various steps right until the last step of sustaining the RBM&E system. The diagram below summarizes the ten steps to be followed in setting up a RBM&E system.

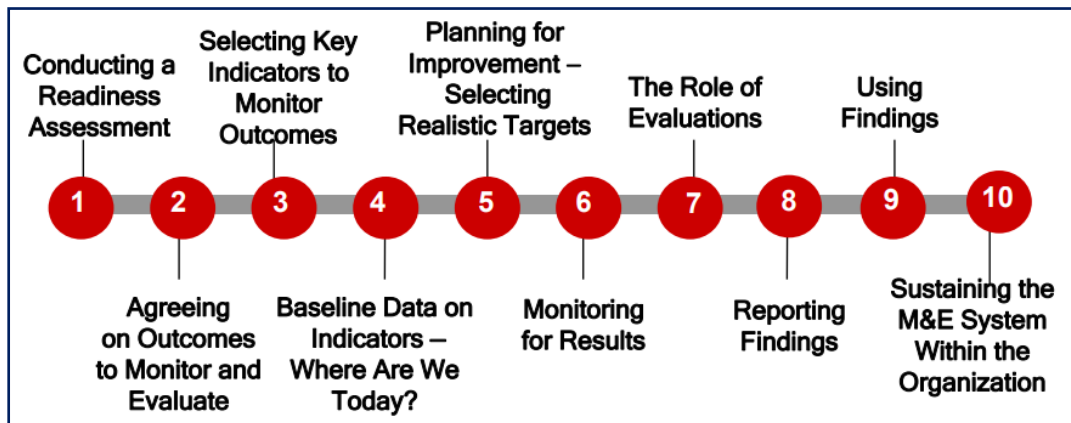


Figure 2.2: Ten steps to a Results Based Monitoring and Evaluation System
 Source: (Jody Zall Kusek, 2004)

Going through these ten steps is not straightforward task; the process comes with various challenges which are political, organizational and technical in nature. There are numerous technical, organizational and political challenges to manage in the building and sustaining of RBM systems especially in developing countries. The building and sustenance of such systems is both a political and technical process. NGOs working in Africa are presented with unique challenges not very evident in other parts of the world including corruption, weak systems lawlessness, widespread famine and disease, inadequate water and sanitation, political instability as examples. Although the international donor community provides substantial financial resources; evidence exists that the poor in Africa continue to get poorer.

These NGOS are faced with major challenges and barriers in the setting up and sustaining of RBM systems. In Africa, NGOs have a leading role to play in providing education and health care to communities among other developmental goals .NGOs working in health in Africa including Kenya, are experiencing similar challenges.

NGOs are largely criticized for their focus and emphasis on technical solutions for poverty alleviation as opposed to the fundamental issues at the grassroots level. There are generally major gaps in data quality including the collection, availability, analysis and reporting in NGOs in Africa. Some face challenges in producing quality and adequate data to allow for routine monitoring of progress in achieving intended results and strengthening systems. Poor systems result in meager data quality, inadequate monitoring, poor evaluation and reporting resulting in incorrect decision making. There can be donor fatigue due to inadequate accountability and lack of tangible results to show for the donor support provided.

2.6 Challenges Facing Results Based Management

Although much has been learned; evidence suggests that numerous challenges still remain in RBM. In particular, developing countries have manifold obstacles to overcome in the process of building results based systems. Some challenges however, are evident in both developed and developing countries.

There are several key challenges that have been identified in RBM practice. An OECD survey identified twelve key challenges (OECD, 2005). The challenges can be classified into organizational and technical challenges .Organizational challenges include examples such as organizational culture, unrealistic goals, lack of performance information, performance indicators can distort the actual intended outcomes of a programme and the fact that higher level outcomes are less tangible or easily visible as compared to outputs.

Technical challenges in RBM include the problem concerning the measurement of outputs and outcomes of intervention. Measurement of the outputs and outcomes of government programmes is a main challenge to deal with when coming up with

performance information systems. (Mayne, (2004) Another technical challenge is the knowhow of data analysis and measuring the numerous outcomes of interest. Following onto that is the challenge of attributing the extent to which a programme led to the realized outcomes.

The issue is that there are frequently other factors or interventions other than the programme that will have contributed to the observed changes or results. (Perrin, 2002) notes that in addition to monitoring, it is important to ensure that evaluations happen so that the attribution issue can be critically looked at. There is also limited experience and capacity in reporting and measuring of outcomes. There are also no generally recognized standards for reporting on the outcomes; further compounding the problem as each authority publishes their own standards. The (OECD, 2005) highlights the necessity of simplifying and harmonizing the reporting requirements of the various donor agencies. The more reporting focuses on higher level results; the larger the challenges become, as there is need to report real change in the form of a performance story, as opposed to simply reporting on quantitative data or numbers. (Mayne, (2004) . This makes the reporting even more complex.

There are generally major gaps in data quality, accessibility and availability from the implementing partners that EPN uses. Interpreting the data and making conclusions is another challenge. Behaviour change in the network is also a major challenge. Behaviour change is a long-term change, and change in behavior is vital in RBM. A challenge in most NGOs is that the three main components of RBM: capacities; incentives and system specific information have gaps and are not adequately formulated in the organizations and hence the ten steps in setting up an RBM&E system become a challenge. Poorly structured M&E systems result in poor data quality, inadequate monitoring, poor evaluation and reporting resulting in incorrect decision making.

2.7 Four Main Pillars of Results Based Management

The four main pillars in the RBM cycle are planning, monitoring, evaluation and learning. Learning takes place at every stage of RBM. Figure 3 below shows an illustration of these four main RBM pillars.

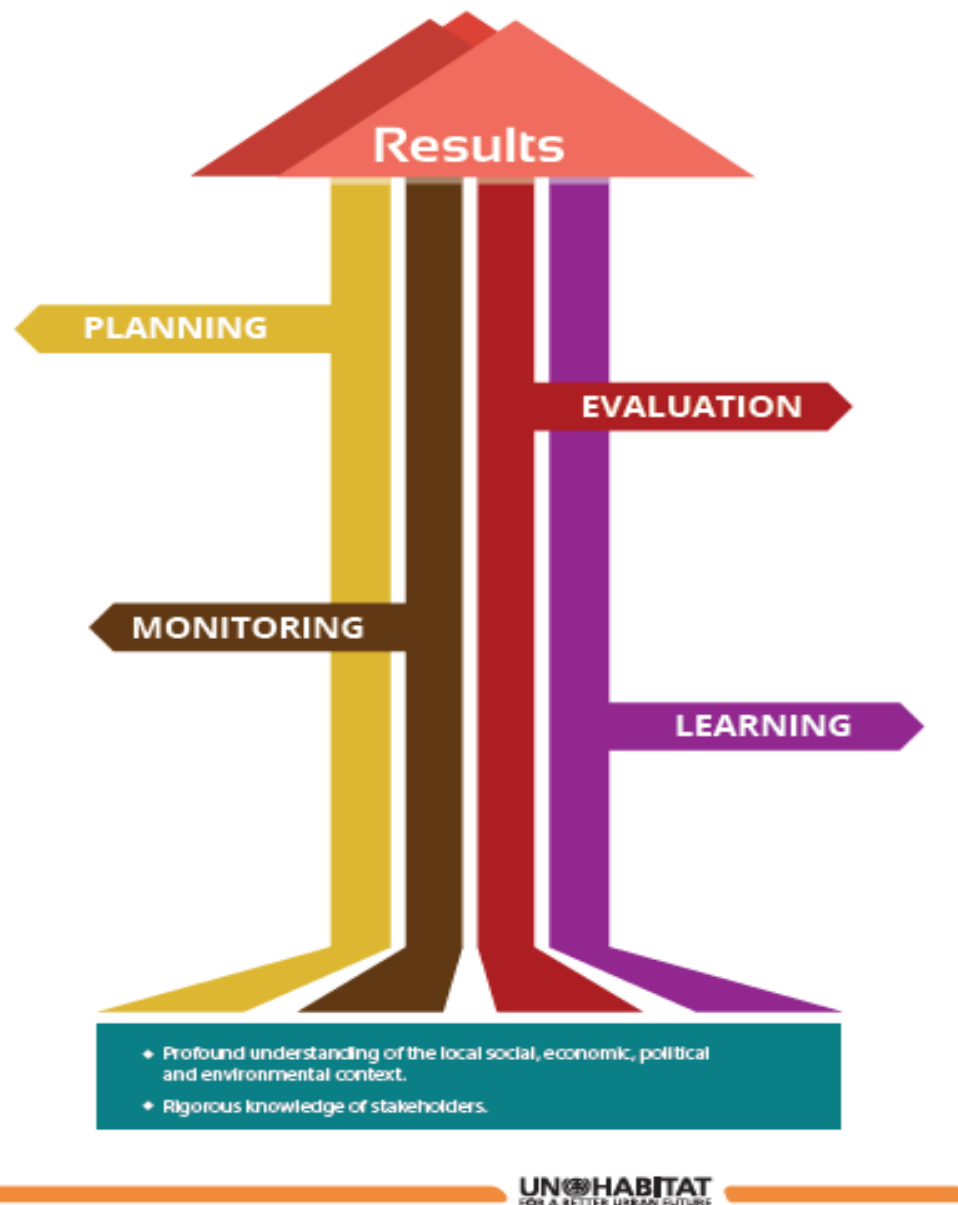


Figure 2.3: Results Based Management Pillars (UN-Habitat, (2013)
Source: UN-Habitat Results-Based Management Handbook

A description of each of the four pillars of RBM shown in Figure 2.3 above is given briefly below:

i. Planning

According to (ICRC Comite International Geneve, May 2008) planning for results is a process that assesses the internal and external environment, needs, problems, target groups, risks, limitations and opportunities and comes up with priorities to ensure coordination and alignment of actions and resources towards the achievement of expected results. In a RBM system, planning involves identifying the goals or objectives to be accomplished; devising the strategies to use to accomplish the goals; determining the resources and means needed and setting up the performance measurement frameworks. The planning process lays the groundwork for implementation of activities, monitoring, evaluation and reporting. It directs all the steps in a proper sequence. Planning in RBM has a basic principle that for results planning, the start should be looking at the higher level results (*impact and outcomes*) and then do backwards mapping to identify the inputs, activities and outputs required to achieve them through the development of a results framework. This entails a thorough problem analysis, carefully looking at the goals that are desired and the inputs and activities that are essential to achieve them. (UN-Habitat, (2013).

The planning or design phase in RBM entails four main stages: **problem identification** including problem analysis and stakeholder analysis; identification of the **operational strategy** including objectives tree and comparing alternative strategies; **intervention logic** stage which entails creation of logical frameworks including analyzing external factors, risks , assumptions and performance indicators. The final stage in the planning phase is the stage **towards implementation** which mainly includes identifying sources of data collection, verification, the activity schedule, programming resources, designing the monitoring system and fine tuning the programme or project plan.

ii. Monitoring

In an RBM system; monitoring is a regular or routine process that gives information on the performance of the intervention and the extent of progress being made towards attainment of results at a particular time. The monitoring process entails systematic collection of data on select indicators to determine and measure current performance against the targets set. The data on indicators gives the main stakeholders and management of an ongoing development intervention, information on the degree of progress in implementation. In addition it provides information on the extent of achievement of results and also how the allocated funds are being used. It is through the monitoring process, that decisions on modifications to the intervention are made. The process tracks progress and also alerts management on whether real results are being achieved. It tests whether the inputs are being utilized for the right activities and whether activities are producing the desired outputs.

The information obtained through monitoring must lead to decisions. If the monitoring reveals that there are gaps then adaptive management should be done whereby adjustments are made to achieve expected results. The intervention may be adapted according to the dynamics of the population needs, the context and activities. As part of the monitoring process, evidence of reported results needs to be collected utilizing indicators to verify or validate what is reported.

Monitoring avails records of activities and results, and identifies present challenges in the intervention environment and also the risks. Monitoring will not clarify why a programme is not reaching its intended outcomes or impact. That level of analysis and the questions of cause and effect are normally addressed through periodic evaluations and reviews.

iii. Evaluation

In a RBM system, evaluation is the periodic and systematic assessment of either a current or completed development intervention. The assessment entails looking at the design, implementation and results of the project, program or policy. The objective is to establish the relevance and fulfillment of the main goals and objectives. Evaluation analyses the development relevance, effectiveness, efficiency, the impact, and sustainability. An evaluation must avail information that is useful and plausible to enable the integration of key lessons learnt into the decision-making processes of both implementers and donor agencies (UN-Habitat, (2013).

In addition, evaluations must indicate whether intended results, especially higher level-outcomes and impacts were achieved. If the results were not achieved; an analysis of why they were not achieved should be done. Evaluations should provide information that monitoring is not sufficiently able to provide. Evaluation mainly focuses on the accomplishment of intended results.

iv. Learning

Learning is very important in RBM. It is a continuous process occurring all the way through the cycle of planning, implementation, monitoring and evaluation. It contributes to the generation of knowledge. Learning notifies the organization; especially management at every stage in the cycle about what is going on well and what requires to be altered or adjusted. Learning influences strategy formulation, intervention planning, design and implementation. An effective M&E system is crucial to facilitate accountability and learning, which are vital elements of RBM. (UN-Habitat, (2013). Without learning, which is informed by the information collected through monitoring then the attainment of intended results can be hindered in RBM.

For each of the four RBM pillars explained above, tools and methodologies are developed within each one of them to form a well detailed *RBM nervous system*. (UN-Habitat, (2013) . The tools and methodologies within each of the four pillars and the internal and external environment within which RBM is implemented are important in the realization of intended results and the success of RBM.

2.8 Summary of Literature

This chapter reviewed existing literature on result-based management and also the technical component of result-based management which is the Result-Based Management Monitoring and Evaluation approach. The chapter also reviewed literature from both local and international contexts. The history and theoretical concepts of results based management have also been looked into in this chapter. These concepts form the basis of the research. The chapter ended with an operational framework that was guided by the literature that was reviewed. The operational framework will be the basis of this study.

2.9. Focus of the Study

The study will focus on how the results based management approach is being implemented at EPN. The four pillars of RBM, which are planning, monitoring, evaluation and learning will provide a framework for the study. The research will focus on whether the planning at EPN is in line with RBM practice. The theoretical framework of the theory of change, will guide how the planning was conceptualized and how it is being operationalised and implemented, narrowing down specifically to whether the monitoring, evaluation and reporting processes are in line with results based management practice.

2.10 Conceptual Framework

The conceptual framework below summarizes the process that the researcher will be guided by.



Figure 2.4: Results Based Management Cycle (UN-Habitat, (2013)

Source: UN-Habitat Results-Based Management Handbook

The literature reviewed by the researcher above on the TOC, the RBM pillars and the steps in successful implementation of a RBM&E system will guide the research. The RBM cycle in Figure 2.4 above informed the operational framework below used by the researcher. The RBM cycle has some similarities with the project cycle. The project cycle contributes to RBM by rationalizing the steps that lead to successful outcomes. The cycle is in line with the four pillars of RBM described in detail above in Section 2.7.

The study looked at how the planning process for project implementation for the NGO is in line with RBM practice, focusing on its planning process, its conception and how it is operationalised. The monitoring process was also looked at assessing whether it is

in line with RBM. Finally the reporting of the NGO was analyzed to see if it was in line with RBM practice. Data was collected through a questionnaire and key informant interviews (KIIs) and also review of relevant organizational documents including strategic plans, donor reports, reports from implementing partners, publications and annual narrative and financial reports. The challenges in the implementation of the RBM approach were inevitably looked at as the above parameters were assessed. A conclusion of how the processes are in line with RBM was made.

2.11 Operational Framework for the Study

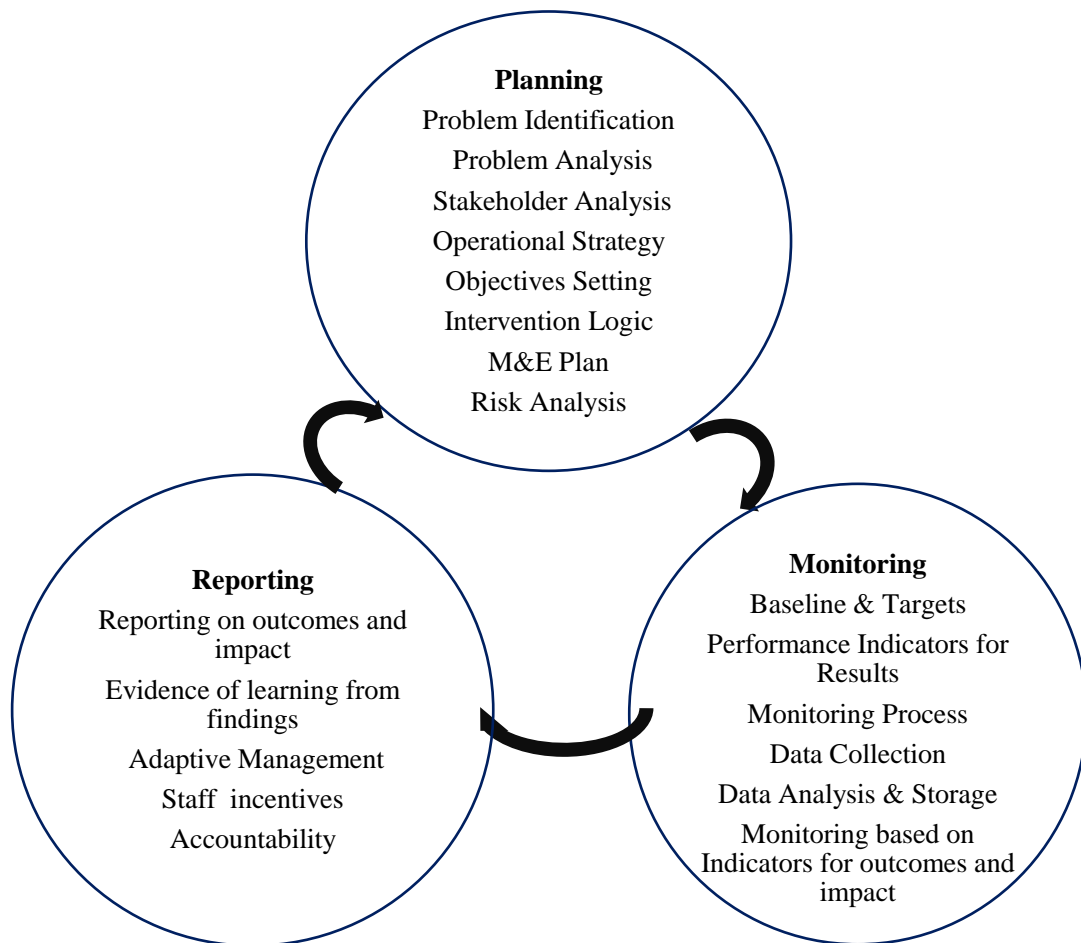


Figure 2.5: Operational Framework for the Study

Table 2.1: Table of Measures of Variables for the Study

Planning	Variable	Measures
<p>70% and above of responses to the planning section questions in <i>Section A</i> of the Questionnaire have to be “Strongly Agree” or “Agree” on the Likert Scale for a conclusion to be made that the NGO’s planning process for M&E is according to RBM Practice.</p>	<p>Problem identification & analysis</p>	<p>Questions will be asked as to whether problem tree analysis is done & if there is a <i>theory of change</i> in the organization. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i>. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.</p>
	<p>Stakeholder Analysis</p>	<p>Questions will be asked as to whether <i>stakeholder analysis</i> is done & if the key stakeholders are included in the <i>problem identification and planning phase</i> in the organization. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i>. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.</p>
	<p>Operational Strategy</p>	<p>A question on whether the organization has a <i>clear and coherent medium to long term strategy that is both actionable and linked to purpose and objectives</i> will be asked. A Likert scale will be used to rate responses from strongly agree to strongly disagree. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.</p>
	<p>Objectives Setting</p>	<p>Questions will be asked as to whether “<i>objectives setting</i>” is a <i>brainstorming, collaborative exercise</i>. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i>. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.</p>

	Intervention Logic	Questions will be asked as to whether <i>the projects team, management team & M&E officer understand the Logframe for their interventions</i> . A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i> . Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.
	M&E Plan	A question on whether the organization has an <i>M&E Plan</i> will be asked. A Likert scale will be used to rate responses from strongly agree to strongly disagree. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.
	Risk Analysis	Questions on whether the organization does <i>risk analysis and comes up with risk mitigation strategies</i> will be asked. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i> . Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.

Monitoring	Variable	Measures
<p>70% and above of responses to the monitoring section questions in <i>Section B</i> of the Questionnaire have to be “Strongly Agree” or “Agree” on the Likert Scale for a conclusion to be made that the NGO’s monitoring process for M&E is according to RBM Practice.</p>	Performance Indicators for Results	<p>Questions will be asked as to whether <i>there are outcome & impact indicators for the interventions and if they are understood by the staff</i>. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i>. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.</p>
	Baseline & Targets	<p>Questions will be asked as to whether <i>baselines are done and at the appropriate time of the project cycle and if the baseline data collected is used</i>. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i>. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.</p>
	Monitoring Process	<p>Questions will be asked as to whether <i>there is a monitoring process, who does the monitoring and whether it is regular</i>. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i>. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.</p>
	Data Collection Tools	<p>Questions will be asked as to whether <i>data collection tools are adequate and if the appropriate data is collected</i>. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i>. Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.</p>
	Data Analysis & Storage	<p>Questions will be asked as to whether <i>there is capacity for data analysis, how data is verified and stored</i>. A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i>. Strongly Agree will have a</p>

		numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.
	Monitoring based on Indicators for outcomes and impact	Questions will be asked as to whether <i>the monitoring process also tracks progress on achieving the higher level results or outcomes</i> . A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i> . Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.
Reporting	Variable	Measures
70% and above of responses to the reporting section questions in <i>Section C</i> of the Questionnaire have to be “ Strongly Agree ” or “ Agree ” on the Likert Scale for a conclusion to be made that the NGO’s reporting process for M&E is according to RBM Practice.	Reporting on outcomes and impact	Questions will be asked as to whether <i>the reporting focuses on actual results- on achieving the higher level results or outcomes</i> . A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i> . Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.
	Evidence of learning from findings	Questions will be asked as to whether <i>the information from M& E is utilized in management decision making and also to improve project performance</i> . A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i> . Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.
	Adaptive Management	Questions will be asked as to whether <i>the management changes its implementation strategies based on the M&E reports</i> . A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i> . Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key

		informant interviews will help to further substantiate the data.
	Staff incentives	Questions will be asked as to whether <i>the management gives incentives to staff for good performance</i> . A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i> . Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.
	Accountability	Questions will be asked relating to <i>if RBM increases accountability of the organization including implementing partners</i> . A Likert scale will be used to rate responses from <i>strongly agree</i> to <i>strongly disagree</i> . Strongly Agree will have a numerical value of 5, Agree will have a value of 4, Neutral will have a value of 3, Disagree a value of 2 and Strongly disagree a value of 1. The key informant interviews will help to further substantiate the data.

CHAPTER THREE: RESEARCH METHODOLOGY

3.1 Introduction

This chapter encompasses the specific procedures as well as techniques adopted to identify, select, process, as well as analyze information about this research. They include a summary of the research design used, data collection as well as the data analysis.

3.2 Research Design

This study adopted both qualitative and quantitative research. According to (McLeod, (2017) qualitative research refers to a multi-method in focus, encompassing an explanatory, realistic approach to its subject matter. On the other hand, he defines quantitative research as that research that gives more focus on counting as well as categorizing elements and creating statistical models as well as figures to describe things observed. This study adopted both designs.

The qualitative research helps to gather detailed information on the topic. The qualitative data was collected through key informant interviews and the review of organizational documents to determine and appreciate the individual and shared meaning regards the implementation of the RBM approach in the organisation. Key informant interviews were appropriate in this study as they endeavor to obtain meanings from individual views, accounts and experiences. (Kermode, Roberts 2007). It was justified for the researcher to use the qualitative technique as it helped initiate the research by gaining information from records or secondary data and also regarding individuals' thinking, motivations as well as attitudes through the primary data.

The research similarly adopted the quantitative research whereby the broad-spectrum degrees of behavior and phenomenon across different contexts was established. The

researcher was justified to use this technique as it provided a clearer picture and similarly provided data for drawing broad inferences as well as numbers that could be applied for statistical analysis. A questionnaire was used to collect the quantitative data.

3.3 Data Collection

Primary and secondary data were both used for this study. Qualitative data was collected through key informant interviews (KIIs) and also through secondary data in the form of the review of relevant organizational documents including strategic plans, donor reports, reports from implementing partners, publications and annual narrative and financial reports. The challenges in the implementation of the RBM approach were inevitably looked at as the above parameters were assessed. The key informant interview guide contained both open ended and closed questions, to allow for the collection of comprehensive data. The interview guide was designed in a simple manner to facilitate easy administration of the questions.

Quantitative data was collected primarily using a semi-structured questionnaire to collect data on the implementation of RBM approach in the target NGO. The questionnaire was designed in a simple manner to facilitate easy comprehension. A conclusion of how the processes are in line with RBM was then done.

The research used convenience sampling whereby sample elements were selected for the convenience of the researcher. Convenience sampling is useful when a researcher has limited time and would like to collect data in order to gain a quick understanding of particular trends or to develop hypotheses for future research. The sample for this study included a total of 13 respondents. These comprised of secretariat staff from the target NGO. Data was collected through the self administered questionnaires that were sent via email using the SurveyMonkey platform. In addition, 10 secretariat staff in

Kenya were interviewed through the face to face method to get the qualitative data through key informant interviews.

3.4 Data Analysis

The analysis of data facilitates logical conclusions to be made about information from collected data. Data analysis for this study encompassed identification of common patterns within the responses as well as critically analyzing them in line with the objectives of the research (Bendat & Piersol, 2012). In qualitative research, interpreting of data occurs continuously from the commencement of the research process to the ending (Radnor, 2002). The researcher was thoroughly understanding and scrutinizing the data to grasp the details, while concurrently systematically examining the dataset, trying to reveal the patterns and explanations. The process of data collection and analysis occurred like a cycle, with the investigator moving to and from the primary data and the literature.

The quantitative data analysis entailed critical analysis as well as interpretation of figures using Microsoft Excel. Descriptive statistics sought to describe the association between the variables. After the descriptive statistics were calculated, the distribution of the variables was plotted and put in diagrammatical representation.

The Likert scale was used for the questionnaire in order to get the opinions of the respondents. The Likert scale allows for collection of data that is more reflective of the views of the respondents as opposed to simple *yes* or *no* answers. In this study the Likert scale was used to gauge to what extent the respondents agreed to the questions or statements in the questionnaire. To facilitate data analysis, the ratings of the Likert scale were coded, as shown in the table below:

Table 3.1: Summary of Numerical Coding of Responses

Response	Abbreviation	Coding Value
Strongly agree	(SA)	5
Agree	(A)	4
Neutral	(N)	3
Disagree	(D)	2
Strongly Disagree	(SD)	1

“Strongly Agree” was given a value of 5 and the values were reducing right through to “Strongly Disagree” that had a value of 1. The scores were then populated and an analysis of the data was done using frequencies and percentages. The data was analyzed using Microsoft Excel.

A total of 17 questionnaires were sent out to EPN staff at the secretariat office in Nairobi Kenya. A total of 13 respondents completed the questionnaire giving a response rate of seventy six percent (76%). The questionnaires were sent via SurveyMonkey. SurveyMonkey is online survey development cloud-based software that allows for online data collection through a user-friendly questionnaire that can be distributed via email. This method was used in the data collection to try and reach as many of the staff as possible within the shortest possible time as most of the programme officers are usually in the field visiting the various countries where projects are implemented for the network. The researcher’s experience with SurveyMonkey was that it is an easy to use platform that helps to create a questionnaire in a very short time as it has in-built suggested responses for example for the Likert scale. It also allows the researcher to reach numerous respondents simultaneously with the self- administered questionnaires even when they are not physically present. The collection, storage and analysis of data is better with SurveyMonkey as it analyses the data and it is easy to export the data and reports and the data is stored in soft copy format automatically as opposed to the hard copy questionnaires that have a risk of being misplaced. The hard copies also have a challenge of having to do data entry after the data collection and are limiting if respondents are not

physically present. For this study the data was exported straight to Microsoft excel which made it much easier to analyse. The only limitation of the SurveyMonkey that was noted was that it has a cost implication and the researcher had to part with US\$35 in order to use the platform for what the study required.

An assessment of how well the data gathered was in line with the variables stated in the conceptual framework was made to establish whether the NGO's monitoring and evaluation conforms to results management practice. A score of 70% and above in the *strongly agree* and *agree* parameters of planning , monitoring and reporting questions of the Likert scale was used as the decision rule or a threshold of whether the organization conforms to RBM practice. The score of 70% was arrived at as an acceptable score for the decision rule based on a statistical decision that was formulated on the basis of observations of a phenomenon that obeys probabilistic laws and that is not completely known. Since the organization is still in the process of implementing RBM, a 70% is a score in the upper third of the total score making it a plausible score for determination of a positive decision. The qualitative and secondary data gathered further substantiated the conclusions made from the quantitative data analysis.

3.5 Research Ethics

In research, ethics refer to the standards or norms for the conduct of the research that differentiate between behavior that is acceptable and unacceptable.(Resnik, 2015).The researcher fully recognized and understood the critical role that ethics have in any study especially for the attainment of reliability and validity. The researcher also took into account honesty; authenticity and attribution. The rights and opinions of each and every respondent were respected during the process of data collection and also during the data analysis process. The researcher sought for the informed consent of all respondents

prior to engagement. The researcher followed ethical standards in the process of planning, collecting, processing, interpreting and reporting data guided by the conventional research principles and norms. The confidentiality of respondents was respected. For all the data collected, informed consent was sought from the research participants. Efforts were made to meet all the relevant ethical requirements for undertaking research among human subjects.

3.6 Chapter Summary

This chapter discussed the research design and methodologies used to conduct the study. The study used both quantitative and qualitative techniques. The chapter looked at the research design, methods, research ethics and justification of the use of the methods. A detailed outline of how the data was analyzed was also given including the tools that were used in the data collection. The numerical values given to the Likert scale responses were also discussed.

CHAPTER FOUR: RESULTS OF THE ASSESSMENT OF THE RESULTS BASED MANAGEMENT APPROACH AT EPN

4.1 Introduction

This chapter details the findings from the analysis of the data from the self administered questionnaires and the qualitative data collected using the key informant interviews as described in Chapter 3. There was also review of secondary data sources in the form donor reports; annual reports; strategic plan; midyear and end of year strategic review reports; M&E plan; M&E frameworks and M&E reports of the organization. The hard copy and soft copy documents were reviewed to try and find out answers for the three objectives of the study focusing on whether the organization's planning, monitoring and reporting were in line with RBM practice. The results obtained were presented in line with the research objectives, research question and the literature review. The findings of the research are presented in three broad categories as depicted in the research conceptual framework informed by the RBM cycle. The three broad categories in the conceptual framework cycle for this study are planning, monitoring and reporting. The findings of the research are presented whilst drawing parallels in each category to the literature review in this study. The demographics of respondents are also detailed in the presentation of the findings.

A total of 13 respondents completed the questionnaire giving a response rate of seventy six percent (76%). Ten (10) staff consisting of the Executive Director, the M&E Officer, communications officer, accountant and six project officers were also interviewed in the key informant interviews to try and get more qualitative data to substantiate the responses from the self administered questionnaires. The Likert scale was used for the questionnaire in order to get the opinions of the respondents. The Likert scale allows for collection of data that is more reflective of the views of the respondents as opposed

to simple *yes* or *no* answers. In this study the Likert scale was used to gauge to what extent the respondents agreed to the questions or statements in the questionnaire.

4.2 Demographic Characteristics of Respondents

Table 4.1 below summarizes demographic characteristics of the study population. It summarizes the age, sex, duration of employment and educational qualifications of the respondents.

Table 4.1: Demographic Characteristics of Study Population

Variables	Frequency	%
Age		
25-34	6	46.2
35-44	5	38.5
45-54	2	15.4
Sex		
Male	6	46.2
Female	7	53.9
Educational Qualifications		
Masters	8	61.5
Bachelors	5	38.5
Employment Duration at EPN		
Less than 2 years	2	15.4
2-5 years	8	61.5
5-10 years	1	7.7
10 years and above	2	15.4

4.3 Planning Process at the Ecumenical Pharmaceutical Network and Results Based Management Practice.

The first objective of this study was to examine whether the planning process for implementation of interventions at EPN conforms to RBM practice. This objective was analyzed using the responses from the questionnaire and also the qualitative data from

the key informant interviews. Secondary data from organizational documents was also collected to gain better insight into the organization in terms of RBM. EPN is in the process of implementing a results based approach in their interventions. The staff interviewed reiterated that during; planning emphasis was placed on higher level results and making a difference in the patients' lives who are the ultimate beneficiaries of the organization.

Table 4.2 below shows the summary of findings from the questionnaire for the questions that pertained to the planning process. The table shows a mean of 4 and SD=0.9 for all the planning questions combined, indicating that the respondents gave a score that is close to the "Agree" score to most of the statements in the questionnaire. The intervention logic question that sought to assess whether the respondents understood the logic model of the project had the highest score (mean=4.6, SD=0.65) with 9 (69%) of respondents strongly agreeing to the statement. The identification of key stakeholders (mean=4.5, SD=0.66) was another statement to which 7(54%) of respondents strongly agreed to. Similarly respondents answered a mean score of 4.2 to the questions that sought to find out if there were defined goals for all projects (mean=4.2, SD 0.69).

Table 4.2: Summary of responses to the Planning Questions

Questions pertaining to Planning	Strongly Agree (%) N	Agree (%) N	Neutral (%) N	Disagree (%) N	Strongly Disagree (%) N	Mean (μ)	Standard Deviation
Your organization identifies the stakeholders that are key or relevant in an intervention during the planning phase.	(54) 7	(38) 5	(8) 1	(0) 0	(0) 0	4.5	0.7
Problem analysis is a comprehensive exercise at EPN, which entails a problem tree analysis (<i>analysis of the causes and effects of the problem</i>)	(23) 3	(54) 7	(0) 0	(23) 3	(0) 0	3.8	1.1
The setting of objectives at EPN is a collaborative exercise done after brainstorming with relevant stakeholders	(31) 4	(46) 6	(15) 2	(8) 1	(0) 0	4.0	0.9
Are you familiar with EPN's theory of change? (<i>Results you are seeking to achieve and how to get there?</i>)	(15) 2	(69) 9	(0) 0	(15) 2	(0) 0	3.8	0.9
Risk analysis is always done at the project planning stage at EPN	(15) 2	(46) 6	(15) 2	(23) 3	(0) 0	3.5	1.1
Plans for risk mitigation are put in place following the risk analysis process	(15) 2	(46) 6	(23) 3	(15) 2	(0) 0	3.6	1.0
The organization has a clear coherent medium to long term strategy that is both actionable and linked to purpose and objectives?	(46) 6	(38) 5	(8) 1	(8) 1	(0) 0	4.2	0.9
You understand the following from the project (s) you are implementing- Project results (<i>inputs, outputs, outcomes and impact</i>)?	(69) 9	(23) 3	(8) 1	(0) 0	(0) 0	4.6	0.7
There is a results-focused M&E framework/ work plan in place at the organization?	(31) 4	(62) 8	(8) 1	(0) 0	(0) 0	4.2	0.6
Each project under EPN has an M&E funding component	(23) 3	(38) 5	(8) 1	(23) 3	(8) 1	3.5	1.3
Development of project indicators is a team effort at EPN	(31) 4	(46) 6	(8) 1	(15) 2	(0) 0	3.9	1.0
EPN has well designed and defined goals for all its projects	(31) 4	(54) 7	(15) 2	(0) 0	(0) 0	4.2	0.7
Mean score for all planning questions						4.0	0.9

The parameters that the least number of respondents did not “strongly agree” to were whether risk analysis is done during the planning phase (mean=3.5, SD 1.05) and whether there were risk mitigation plans put in place as part of the planning process (mean=3.6, SD=0.96). There were only 2 (15%) of the respondents that strongly agreed that both risk analysis and risk mitigation plans were in place in the organization. Three (23%) of the respondents answered “disagree” in their responses to whether plans for risk mitigation were put in place in the organization. Only 3 (23%) of the respondents strongly agreed with the statement that each of the projects had an M& E funding component in their budget (mean=3.5, SD=1.33). The responses to the statement on whether problem analysis encompassed doing a problem tree analysis including analyzing causes and effects of a problem showed that 3(23%) of the respondents answered “disagree” and the scores to the question were (mean=3.8, SD=1.09).

Figure 4.1 below shows a diagrammatic illustration of the mean scores for the planning questions as depicted in Table 4.2.

In order to get more qualitative perspective to the study; ten people were interviewed in the key informant interviews as described in Chapter 3. The interviews were conducted in English and lasted an average of 15 minutes per participant with the least time taken being 8 minutes and the longest interview lasting 25 minutes. It was acknowledged by all interviewees that RBM is a complex approach and 8 (80%) of the respondents confirmed that they understood and appreciated the approach in relation to its use at the organization.

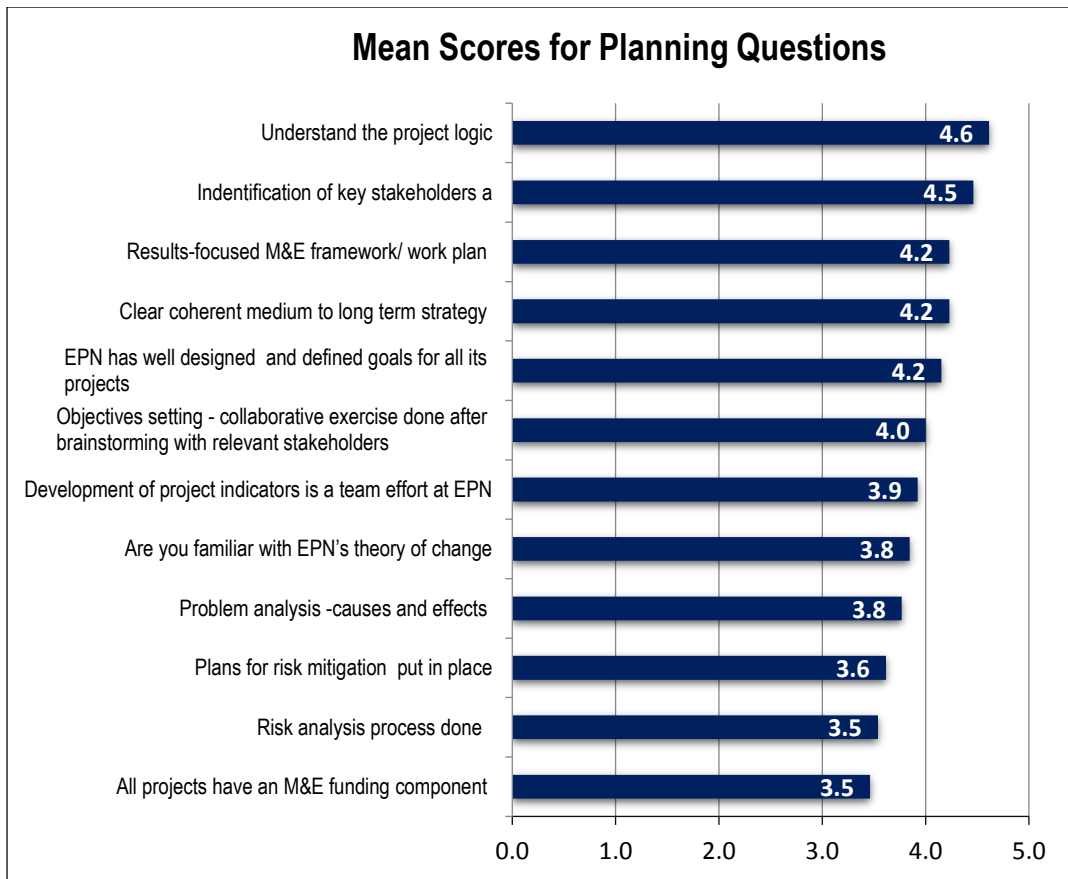


Figure 4.1: Mean scores for responses to planning questions

One respondent, a project officer stated during the key informant interview that “*Strides are being made in our organization through continuous training and follow up messages to the project team to emphasize on the need to plan our interventions with a clear goal in mind looking at the ultimate change we would like to see not just looking at the outputs that are realized but higher level results of how the outputs are used to get desired outcomes*”. Another respondent stated that “*It is not enough to train pharmaceutical staff in the health facilities, we would like to see change in behavior that ultimately impacts on the patients, and those are the results the organization is seeking in my opinion*”

In terms of how different RBM performance measurement and reporting was to other earlier approaches, all the respondents 10 (100%) understood that RBM had a major difference of measuring actual change and higher level results in interventions. The questions on the planning focused mainly on how the processes of problem analysis; stakeholder analysis; objectives setting; intervention logic and risk analysis were done in the organization. The responses got mirrored the quantitative data above as the interviewees 8(80%) stated that the organization strategy and project goals in the organization were clear and that stakeholder mapping and analysis is done as the network works with its members to identify and incorporate the key stakeholders for an intervention. The issues raised were mainly on the problem analysis process not being comprehensive enough to help in coming up with clear causes and effects of the problems. Risk analysis and risk mitigation were also not done as regularly and in-depth as what RBM practice prescribes.

The findings from the secondary data in the form of documents reviewed showed that the organization has a detailed strategic plan that runs for five year periods, the current one being for the years 2016 to 2020. It was available in both soft and hard copy. The strategic plan was devised after extensive consultation with the network members and key stakeholders and after carrying out a strengths, weaknesses, opportunities and threat (SWOT) analysis. The organization has six strategic areas which were informed by the Sustainable Development Goals (SDGs). The current strategic focus areas include: Non-communicable diseases; Maternal and Child Health; Antimicrobial Resistance and Infectious Diseases; advocacy; pharmaceutical services capacity development and research and information sharing. The progress and donor reports indicated that project goals are clear and indicators are well detailed including the ones for the higher level results; the outcomes and impact. The indicators for the projects are however devised

mostly by the M&E officer; it is usually not a participatory or collaborative exercise with key stakeholders. There is an M&E plan that is structured around the strategic areas that the organization uses and it covers a period of one year. The process of problem analysis is however not very well documented in secondary data although interviews confirmed that it did happen with mostly the projects team and resource mobilization officer brainstorming before project proposals are submitted to donors. The theory of change for the organization was however not well documented in any secondary literature and 4(40%) of the staff interviewed seemed not to be aware of any detailed theory of change for the organization.

Risk analysis was not a very elaborate process in the project planning process for the individual projects the organization implemented. Findings revealed that it was mostly done as part of completion of logical framework that required assumptions and risks to be put. Similarly the risk mitigation plans were not documented in secondary literature for the planning. The risks were mainly evident in the periodic donor reports. Of the project documents reviewed 60% has an M&E funding component in the budget, the rest did not have specific budget lines allocated to M&E.

4.4 Implementation and Monitoring Process at EPN and RBM Practice

The second objective of the study sought to determine whether the monitoring process at EPN is aligned to Results Based Management practice. The self administered questionnaires had questions to assess whether the project implementation and monitoring process at the organization was in line with what the RBM approach entails. Table 4.3 below shows a summary of the data from the responses. The Likert scale was used to determine how respondents agreed or disagreed to the various statements.

Table 4.3 Summary of responses to the implementation and monitoring questions

Questions pertaining to Monitoring	Strongly Agree (%) N	Agree (%) N	Neutral (%) N	Disagree (%) N	Strongly Disagree (%) N	Mean (μ)	Standard Deviation
EPN conducts baseline studies for all its projects	(23) 3	(38) 5	(8) 1	(23) 3	(0) 0	3.8	1.2
The baseline information is utilized by the organization	(23) 3	(38) 5	(23) 3	(8) 1	(0) 0	3.9	1.0
Baseline studies are normally conducted before the start of the project at EPN	(38) 5	(15) 2	(23) 3	(23) 3	(0) 0	3.7	1.3
The tools used during a baseline study are normally the same tools used during evaluation study at EPN	(46) 6	(23) 3	(23) 3	(8) 1	(0) 0	4.1	1.0
There is a clear process for regular tracking of project performance and progress at EPN	(23) 3	(54) 7	(8) 1	(15) 2	(0) 0	3.8	1.0
It is clear who does the roles of data collection and monitoring at the organization	(15) 2	(69) 9	(8) 1	(8) 1	(0) 0	3.9	0.8
Monitoring is a regular and continuous process at the organization	(23) 3	(54) 7	(15) 2	(0) 0	(0) 0	4.2	0.7
The organization has clear indicators for measuring results at outcome and impact level	(15) 2	(54) 7	(8) 1	(23) 3	(0) 0	3.6	1.0
You understand the outcome and impact indicators and how to measure their achievement in the project(s) you are implementing	(38) 5	(46) 6	(15) 2	(0) 0	(0) 0	4.2	0.7
The targets to be achieved are clearly defined before the start of the project at EPN	(38) 5	(46) 6	(8) 1	(8) 1	(0) 0	4.2	0.9
Staff have competence in data analysis	(23) 3	(8) 1	(38) 5	(23) 3	(0) 0	3.2	1.2
The data collection tools are well formulated and adequate at EPN	(15) 2	(23) 3	(54) 7	(0) 0	(0) 0	3.6	0.8
Data is systematically stored in a safe and easy to retrieve format	(8) 1	(38) 5	(38) 5	(15) 2	(0) 0	3.4	0.9
The amount of data collected is adequate and not too much at the organization, only the necessary data in line with indicators is collected.	(15) 2	(38) 5	(23) 3	(15) 2	(8) 1	3.4	1.2
EPN always achieves its goals and objectives	(15) 2	(23) 3	(23) 3	(23) 3	(0) 0	3.2	1.1
Mean score for all implementation & monitoring questions						3.6	1.0

The results are summarized in Table 4.3 above. The parameters that had high scores included whether the respondents understood the outcome and impact indicators in the projects that were implemented (mean=4.2, SD=0.7) showing that most agreed that they understood, with just 2(15%) being neutral and the rest agreeing or strongly agreeing. The key informant interview further substantiated that there was clarity in what the higher level results an intervention was seeking to achieve were. The M& E officer stated in the key informant interview that *“all their projects had clear logical frameworks that detailed the outcomes and impact and also gave indicators for each of the results”*. Review of the M&E frameworks and project proposals as part of the secondary data review confirmed this.

Another question that scored highly was that of whether monitoring was continuous process in the organization (mean=4.2, SD=0.7) showing none of the respondents disagreeing and just 2(15%) being neutral. The key informant interviews revealed that projects at the organization are implemented through the network members and regular tracking of progress was done through mechanisms such as meeting every Tuesday either physically or through the updating a shared Google sheet to report on progress on key process indicators as well as looking at how the outcomes are being influenced by the use of the outputs. The Google sheet with updates from the project team was availed and the researcher confirmed its existence. There were also regular visits to the project sites by project staff and M&E officer to monitor progress on the ground. All the M&E frameworks were excel sheets for each project that also incorporated “means of verification” of the data received from the implementing partners.

Baseline studies were conducted at the organization with just 3(23%) disagreeing to the fact. The baseline studies allowed for setting of realistic targets for the various interventions. The responses to whether targets to be achieved were clearly defined at

the start of the intervention had a score of (mean=4.2, SD=0.9). The baseline studies were usually done before the start of the project (mean=3.7 SD=1.3). Similar tools to the baseline tools were used for the endline assessments (4.1, SD=1.0). The M& E officer confirmed that similar tools were used to allow for comparison before and after the intervention. The scores on whether the information gathered from baseline was used by the organization to inform the intervention decisions (mean=3.9, SD=1.0).

The data gathered from two project officers revealed that sometimes the data from baseline was not fully utilized. In the key informant interviews one stated that, “sometimes *due to time and human resources constraints, data from the baseline will not be fully analyzed and incorporated in the next phases of an intervention*”. The review of periodic donor reports showed that baseline studies were usually done with all 8 (100%) donor reports reviewed showing that a baseline study was conducted at the start of the project and the baseline reports were attached as annexes. What was not very clear however from the reports was how the baseline data was fully incorporated into the subsequent project phases.

The questions that had the least scores were mostly regarding the data collection, storage and analysis as shown in Figure 4.2 below. To the question of whether data was systematically stored in a safe and easy to retrieve format, respondents answered with a low score (mean=3.4, SD=0.9). Data from the other sources including the key informant interviews showed that although there was a shared server to store data making it very safe and secure storage with back up, there was no system in place to ensure all project officers and M& E Officer stored data in a standardized and easy to retrieve format. The score for the question on whether amount of data collected was adequate and not too much respondents gave (mean=3.4, SD=1.2). One respondent in

the interview felt that; “*the data collected was sometimes too much resulting in a graveyard of data where a lot of data is collected and not used at all*”.

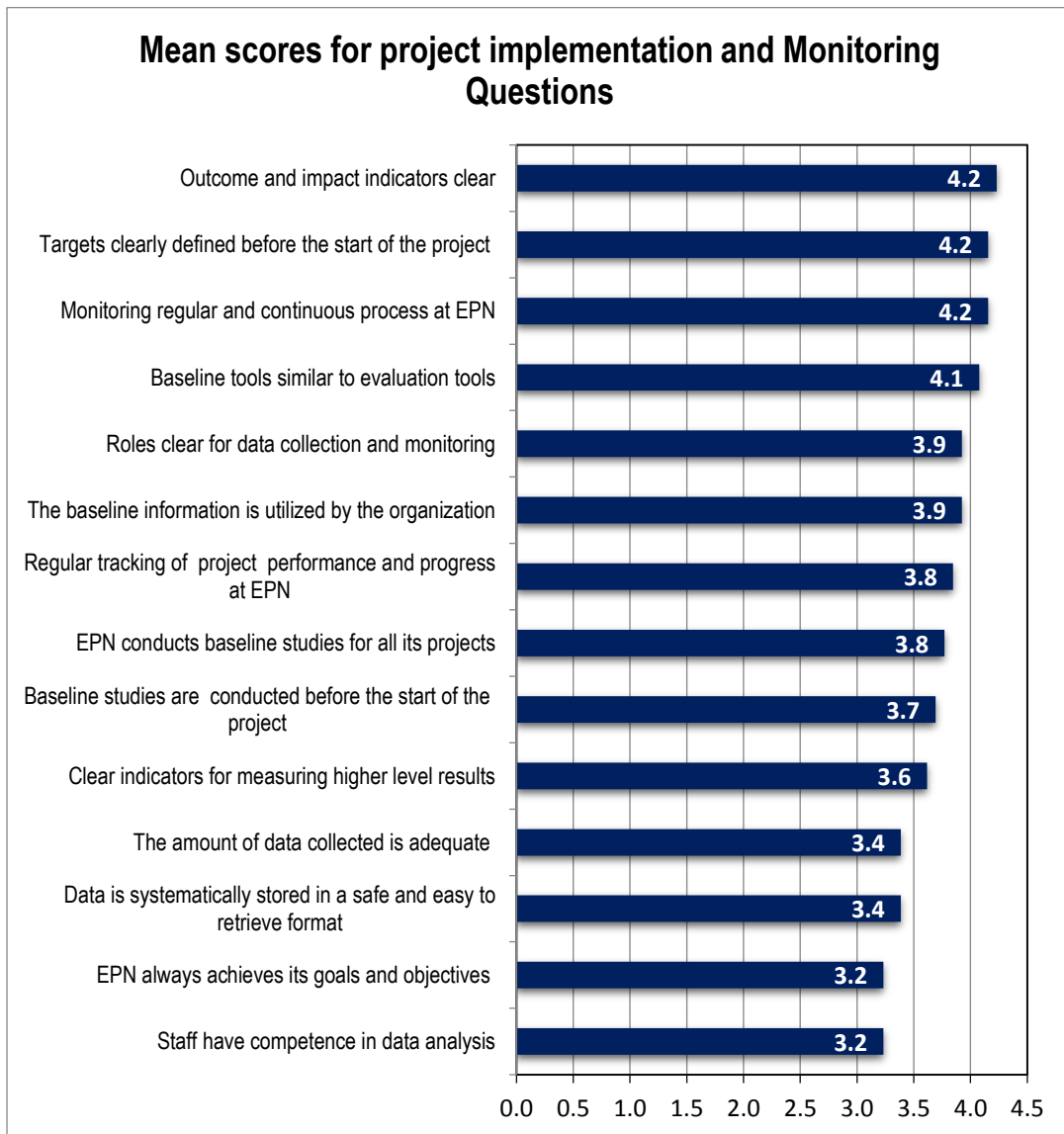


Figure 4.2: Mean Scores for Implementation and Monitoring Questions

On whether staff had competence in data analysis; 4(31%) disagreed in other words felt that the staff had inadequate competency or proficiency in data analysis. The mean score was relatively low in comparison to other variables (mean 3.2, SD=1.2). Data gathered from the key informant interviews revealed that the organization invested a lot in capacity building of its staff in data collection and analysis, quite a number of trainings have been done including training on SPSS and Microsoft Excel. Online

mobile data collection platforms such as Open Data Kit (ODK) are used in the organization and staff have also been trained on the same.

One respondent said “ *We have been trained a lot on project management and data analysis, the major challenge in my opinion is that there is need for more practice and continuous exposure for staff practically so that that the knowledge acquired is practically used as staff tend to forget if they do not put into practice their learning*”.

Training reports for the project team members were on file for review as part of the documents reviewed during the study and these confirmed that training was took place.

4.5 Evaluation and Reporting Process at the Ecumenical Pharmaceutical Network and Results Based Management Practice.

The third objective of this study was to investigate whether the evaluation and reporting processes at EPN conform to RBM practice. This objective was analyzed using the responses from the questionnaire and also the qualitative data from the key informant interviews. Secondary data from organizational documents was also collected to gain better insight into the whether the EPN evaluation and reporting processes are in accordance with RBM practice.

Table 4.4 and Figure 4.3 below summarize the findings from the questionnaires. The overall mean for all responses was (mean=3.8, SD=0.8). The variable with the highest score was on accountability by project staff and implementing partners who implement the projects (mean=4.5, SD=0.7). None of the respondents disagree or strongly disagreed to the accountability question. The organization places a lot of emphasis on accountability and has stringent and well detailed contractual measures that include signing of contracts with implementing members in the network that mirror the expected deliverables and results as per the donors' requirements.

A review of the contract documents reflected this. One interviewee stated “*when network members report to the secretariat, they should clearly state if desired results for interventions were achieved and if not why? This then informs to future decisions by management*”.

Accountability also in terms of resources and adherence is also well monitored and evaluated in the organization as was reflected in the donor reports. There is periodic reporting on outcomes and impact in the organization, none of the respondents disagreed. Scores were (mean=4.2, SD=0.6). The donors funding the organization mostly require periodic reporting, mostly semi-annually as shown in the donor reports that were reviewed. All the donors had sections specifically for reporting on progress in terms of outcomes and impact hence leading to the organization reporting periodically on the higher level results.

Table 4.4: Summary of responses to the evaluation and reporting questions

Questions pertaining to evaluation and reporting	Strongly Agree (%) N	Agree (%) N	Neutral (%) N	Disagree (%) N	Strongly Disagree (%) N	Mean (μ)	Standard Deviation
In your opinion the information generated by the current M&E system is used for project performance review and changing course if needed.	(23) 3	(38) 5	(23) 3	(15) 2	(0) 0	3.7	1.0
There is periodic reporting at EPN on outcomes and impact	(31) 4	(62) 8	(8) 1	(0) 0	(0) 0	4.2	0.6
Evaluations done at EPN focus on the intervention's relevance, efficiency, effectiveness, impact and sustainability.	(31) 4	(46) 6	(8) 1	(15) 2	(0) 0	3.9	1.0
Information from M&E findings is utilized by management in decision making for current and future interventions at EPN.	(31) 4	(54) 7	(15) 2	(0) 0	(0) 0	4.2	0.7
Performance of projects has improved as a result of the demand for M&E results at outcome and impact level	(23) 3	(54) 7	(23) 3	(0) 0	(0) 0	4.0	0.7
Your organization has an evaluation framework that examines impact or more precisely the contribution of the program to its greater sphere of influence.	(23) 3	(23) 3	(23) 3	(23) 3	(8) 1	3.3	1.3
In your opinion the information generated by the current M&E system is used for accounting for resources used in the implementation to donors	(15) 2	(69) 9	(8) 1	(8) 1	(0) 0	3.9	0.8
Accountability on projects by project managers and implementing partners is a requirement at EPN	(54) 7	(38) 5	(8) 1	(0) 0	(0) 0	4.5	0.7
The demand for results at outcome and impact level has improved accountability in the organization	(15) 2	(77) 10	(8) 1	(0) 0	(0) 0	4.1	0.5
Funding has increased as a result of the organization reporting on outcome and impact	(8) 1	(8) 1	(46) 6	(38) 5	(0) 0	2.8	0.9
Incentives exist for staff adhering to RBM practice	(8) 1	(15) 2	(46) 6	(31) 4	(0) 0	3.0	0.9
Mean score for all evaluation & reporting questions						3.8	0.8

On the question of whether the information from M&E findings was utilized by management in decision making for current and future interventions at EPN. Respondents agreed with none of them disagreeing. (Mean=4.2, SD=0.7). Secondary data and key informant interviews revealed that in addition to the weekly projects team meeting to update on progress, there were monthly in-depth meetings that had the project officer, executive director and M&E officer in attendance.

In these meetings a tool that mirrors the M&E framework for each project is used to try and get in-depth information on how the project is progressing, including the financial spending and also reporting on data collected on the indicators. The conclusions of this meeting are action points and decisions of what to do next informed by the data collected. One project officer stated in the key informant interview that *“These monthly meetings are very useful and functional as they help us change course if we realize that the environmental factors have changed or our efforts need realigning to achieve intended outcomes. The challenge is that sometimes what we would like to change is not within the contract budget and because of time and conflicting demands sometimes the monthly meetings are not as regular as they are supposed to be”*

These meetings also help management at EPN in making evidence based decisions for the current as well as future interventions. The weekly projects meetings summarize all key lessons learnt which culminate into reflective sessions that are held usually half yearly to reflect on how the organization is progressing based on the annual work plans and strategic focus areas. Decisions are then made by management based on the findings from these reflective meetings and progress reports. Minutes of the strategic planning meetings were reviewed as part of the study and these did contain key lessons learnt regarding achieving results.

The evaluations done at the EPN to a certain extent focus on the interventions' relevance, efficiency, effectiveness, impact and sustainability. Score on this variable was (mean= 3.9, SD= 1). The evaluation reports and key informant interviews showed that not all the five criteria were considered in detail for some evaluations. In most times the donor reporting requirements dictated what criteria was focused on. The external evaluations conducted midterm (after 2.5 years) and 5-year strategic evaluations however looked at all the five evaluation criteria in detail.

As shown in Figure 4.3 below; the question of whether the organization had an evaluation framework that examined impact or more precisely the contribution of the program to its greater sphere of influence had a relatively low score (mean=3.3, SD=1.3). From the organizational document review and key informant interviews, it was clear that the problem of attribution to the impact level results was a major challenge and an analysis of how the organization projects or programme influenced results at impact level was not so well articulated. Reporting was mostly up to outcome level.

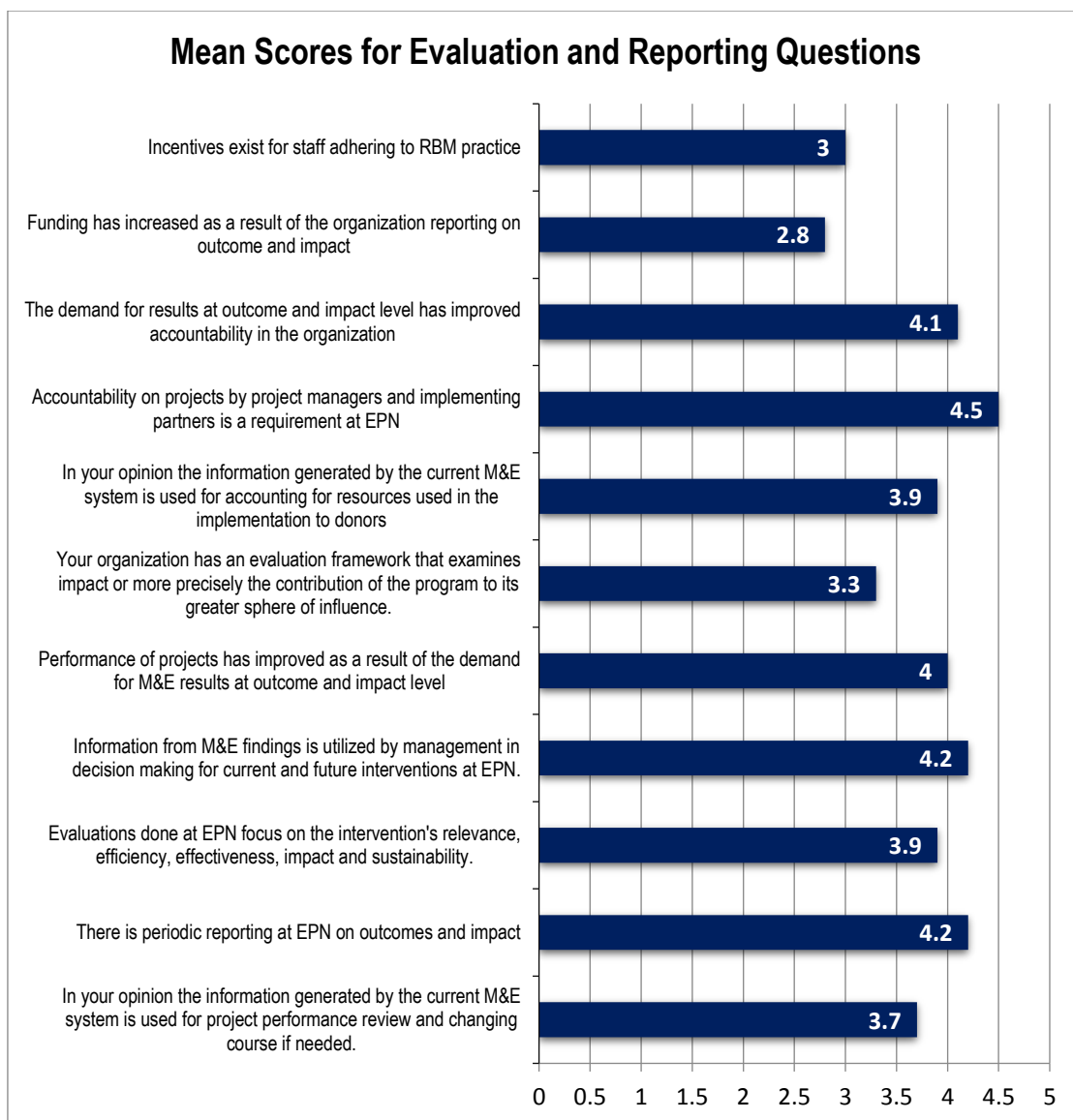


Figure 4.3: Summary of mean scores for evaluation and reporting

Key informant interviews revealed that there was a challenge of the implementing partners submitting progress reports on time to the organization as per work plan and contractual deadlines, the project officers then had to invest much time and effort in getting the progress reports and data that was required to track progress. There have been efforts to form Whatsapp groups so that tracking is faster as the responses are faster on the Whatsapp platform.

Another question that had a low score was on whether incentives were in existence for staff adhering to good RBM practice. Only 1 (8%) staff member agreed that incentives were present. (Mean=3, SD=0.9). The key informant interviews also confirmed that incentives that were aligned to actual results were not in existence for the staff. Review of documents also showed that although there were awards for *employee of the year* and *most improved employee*, there was no evidence of incentives linked to the specific results achieved.

4.6 Overall Mean Scores for Planning, Monitoring and Evaluation

The graph below (Figure 4.4) shows the overall mean scores based on the Likert scale responses for all the three objectives discussed above. The Likert scale had statements that were in the positive and the more respondents agreed; the closer the responses were to RBM practice.

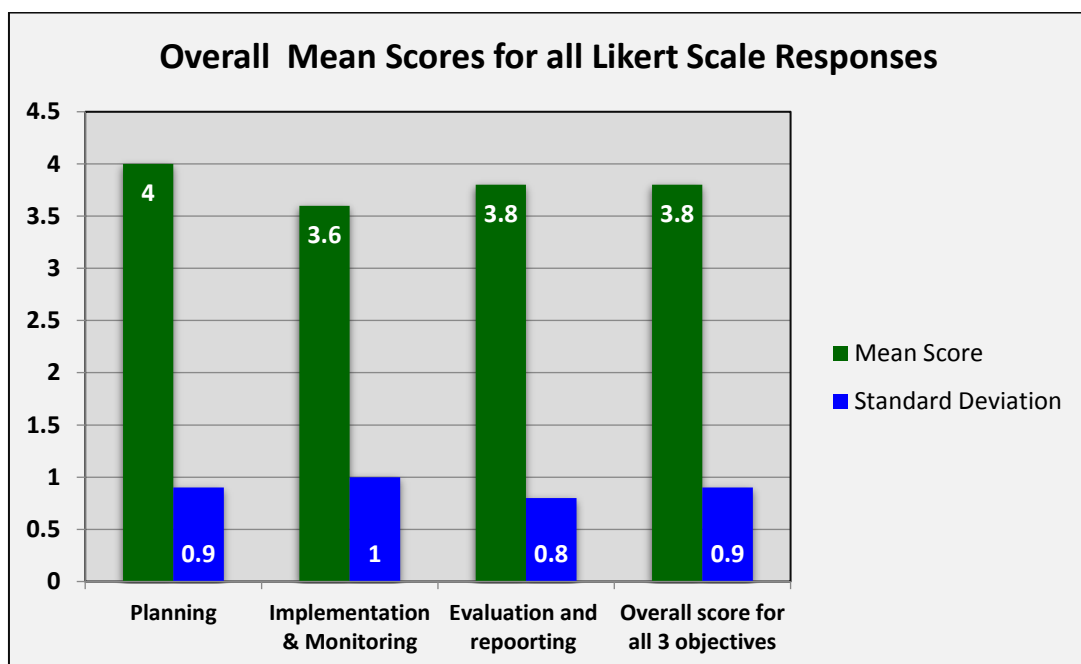


Figure 4.4: Overall Mean Scores for the Likert Scale Scores

4.7 Discussion of Results

Research findings revealed that EPN was on track in most of the planning activities based on findings. According to (ICRC Comite International Geneve, May 2008); planning for results is a process that assesses the internal and external environment, needs, problems, target groups, risks, limitations and opportunities and comes up with priorities to ensure coordination and alignment of actions and resources towards the achievement of expected results. In a RBM system, planning involves identifying the goals or objectives to be accomplished; devising the strategies to use to accomplish the goals; determining the resources and means needed and setting up the performance measurement frameworks. The planning process lays the groundwork for implementation of activities, monitoring, evaluation and reporting. Planning at EPN was almost in line with the above save for the gaps in risk analysis and full stakeholder participation.

In an RBM system; monitoring is a regular or routine process that gives information on the performance of the intervention and the extent of progress being made towards attainment of results at a particular time. The monitoring process entails systematic collection of data on select indicators to determine and measure current performance against the targets set. The data on indicators gives the main stakeholders and management of an ongoing development intervention, information on the degree of progress in implementation. This was evident at EPN as monitoring was done as a routine process against well formulated indicators.

The information obtained through monitoring must lead to decisions. If the monitoring reveals that there are gaps then adaptive management should be done whereby adjustments are made to achieve expected results. This was also evident at the

organisation although there was evidence that this can be even further streamlined and improved based on feedback from the key informant interviews.

Reporting and learning are very important in RBM. Learning is a continuous process occurring all the way through the cycle of planning, implementation, monitoring and evaluation. It contributes to the generation of knowledge. Learning notifies the organization; especially management at every stage in the cycle about what is going on well and what requires to be altered or adjusted. Learning influences strategy formulation, intervention planning, design and implementation. EPN strives to learn through key lessons from projects, reflective meetings and root cause analysis sessions each time there is a problem.

4.8 Chapter Summary

This chapter looked at the presentation, analysis and discussion of the findings. The chapter looked at details the findings on the three study objectives from the analysis of the data from the self administered questionnaires and the qualitative data collected using the key informant interviews as described in Chapter 3. There was also review of secondary data sources in the form donor reports; annual reports; strategic plan; midyear and end of year strategic review reports; M&E plan; M&E frameworks and M&E reports of the organization. The chapter concluded with an overall picture of the results and a summary discussion of the research findings in relation to the literature review that was done as part of the study in Chapter 2.

CHAPTER 5: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

The study examined to what extent the monitoring and evaluation system at the Ecumenical Pharmaceutical Network conforms to results based management practice. In particular it specifically sought to assess whether the planning process for implementation of interventions at the Ecumenical Pharmaceutical Network conforms to results based management; to determine whether the monitoring process at the Ecumenical Pharmaceutical Network is aligned to results based management and to examine whether reporting at the Ecumenical Pharmaceutical Network conforms to results based management practice. Data was collected through collection of primary data from self administered questionnaires, key informant interviews gave a more qualitative perspective and data was also collected from secondary data via organizational documents review to gain better insight into the organization in terms of RBM.

This chapter gives the summary; major conclusions and recommendations of the study. These are taken from the research findings. In addition, the chapter presents the areas of further research.

5.2 Summary

The findings revealed that the organization had a five year strategic plan with six priority focus areas. This strategy was formulated after engaging key stakeholders and incorporating their inputs. Since EPN is a network it emphasizes on engaging stakeholders from the network when devising their five year strategic plans. The strategy is in line with the SDGs and the focus areas are: maternal and child health; non-communicable diseases and antimicrobial resistance and infectious diseases are in

line with the development goals. Going to the short to medium term planning the organization does do problem identification and objectives setting usually as a collaborative exercise with the secretariat project staff. The problem mapping and cause and effect analysis is however not as comprehensive, the key stakeholders are not as involved as they ought to be mainly due to time and financial resource constraints. The organization emphasizes on the higher level results or intended change in their planning so that the planning is done with the ultimate goal in mind. Findings revealed that there is no documentation on the theory of change for the organization; it is mostly implied in their operations. The intervention logic or logic models for the projects that the organization implements were clearly laid out with staff fully understanding the concept as shown in the high score of 4.6 in the Likert scale responses to the question. The key informant interviews further confirmed this.

The risk analysis process was done as part of the project proposals writing process, completion of logical frameworks and donor reporting. This risk analysis process was however not comprehensive and the recommended steps for risk analysis were not followed in the organization. There was also a gap in the monitoring of the risks as an ongoing exercise at the organization.

The organization has an M&E plan that is structured around its six strategic areas and each project also has an M&E framework that details the project results at the different levels and the indicators, baseline values, targets, data sources, frequency of collection and means of verification for the data collected. The M&E plan and M&E frameworks help in planning for the M&E for the organization and form the basis of the monitoring process.

Funding for M&E was not part of the budget for some projects as the findings showed a 3.5 mean score for the questionnaires and 40% of the project budgets reviewed did not have a budget line for M& E funding.

Findings revealed that the targets and outcome and impact indicators were defined at the start of the intervention. Monitoring was a regular process at the organization which included weekly project team meetings and monthly in-depth meetings with the executive director, project manager and M& E officer to look at the intervention progress. The organization's implementing partners were expected to send regular reports on progress and routine visits were done by the secretariat to the project sites to monitor progress. The emphasis in all these activities being the analysis of whether outputs were realized and most importantly their use in the achievement of project outcomes. Data was collected for the project indicators starting from the baseline right until the endline of the project.

Findings revealed that baseline studies were conducted at the organization. The baseline studies allowed for setting of realistic targets for the various interventions. The baseline studies were usually done before the start of the project and similar tools to the baseline tools were used for the endline assessments to allow for comparison before and after the intervention. The scores on whether the information gathered from baseline was used by the organization to inform the intervention decisions had a mean score of 3.9. The qualitative data revealed that the idea was to tailor the intervention activities based on the baseline study findings and actual current beneficiary needs, but this was not always the case due to human resource and time challenges.

Findings also revealed that although there was a shared server to store data making it very safe and secure storage with back up, there was no system in place to ensure all

project officers and M&E Officer stored data in a standardized and easy to retrieve format. Findings on whether staff had competence in data analysis showed a relatively low mean score of 3.2 average of the scores to the question on data analysis competency. Data gathered from the key informant interviews revealed that the organization invested a lot in capacity building of its staff in data collection and analysis but there was need for greater practical experience to put into practice the knowledge gained after training.

The organization places a lot of emphasis on accountability and has stringent and well detailed contractual measures that include signing of contracts with implementing members in the network that mirror the expected deliverables and results as per the donors' requirements. A review of the contract documents reflected this. Accountability in terms of resources and adherence is also well monitored and evaluated in the organization as was reflected in the donor reports.

There is periodic reporting on outcomes and impact in the organization. The donors funding the organization mostly require periodic reporting, mostly semi-annually as shown in the donor reports that were reviewed. All the donors had sections specifically for reporting on progress in terms of outcomes and impact hence leading to the organization reporting periodically on the higher level results. The evaluations done at the organization to a certain extent focus on the interventions' relevance, efficiency, effectiveness, impact and sustainability. The score on this variable was a mean of 3.9. The evaluation reports and key informant interviews showed that not all the five criteria were considered in detail in all evaluations. In most times the donor reporting requirements dictated what was focused on. The external evaluations conducted midterm (after 2.5 years) and 5-year strategic evaluations however looked at all the five criteria in detail.

From the organizational document review and key informant interviews, it was clear that the problem of attribution to the impact level results was a major challenge and an analysis of how the organization projects or programme influenced results at impact level was not so well articulated. Reporting was mostly up to outcome level.

Decisions for current and future interventions are made by management and project officers based on the findings from the weekly and monthly reflective meetings and progress reports. Minutes of the bi-annual strategic planning meetings were reviewed as part of the study and these did contain key lessons learnt regarding achieving results. Findings further revealed that there were no structured staff incentives that were linked to actual results achieved and this is a key contributing factor to the success of RBM.

5.3 Conclusion

In conclusion it can be said that the study revealed that EPN is on the right track in its implementation of the results based management approach. The Likert scale showed an average score of 3.8 for all questions combined for the planning, monitoring and reporting showing that it was leaning to the “agree” score of the scale. Of all the total questions analyzed for the self administered questionnaires; 29% of the questions had a “*strongly agree*” answer , 43% had “*agree*” as the answer , 14% of the answers were answered as “*neutral*” and 13% had the “*disagree*” response and only 1% of the responses were answered “*strongly disagree*”. In conclusion therefore of all the responses; 72% of them were either “*strongly agree*” or “*agree*” responses. This means that the study findings established that the organization was in the right track in utilizing the RBM approach in their monitoring and evaluation system despite some challenges.

The qualitative data further substantiated these findings as discussed above for the secondary data in the form of review of documents and the same was reflected in the

key informant interviews and direct quotes as well. The monitoring and evaluation system was mostly in line with RBM practice albeit some challenges. Having a well formulated strategy that articulates the goals to be achieved over a period of time is important if an organization is to be successful and EPN does have a strategy that is reviewed every five years in line with global developmental goals and stakeholder input.

The planning shows that the organization does the analysis of the change they intend to see in higher level goals and looks at the causes and effects of problems whilst engaging the key stakeholders. An important element of RBM; risk analysis and mitigation is done but not as comprehensively in the organization. The intervention logic was generally well thought out in the organization and there was an understanding of what the different level of results meant and entailed. The M&E plan and frameworks showed the targets to be achieved were well stipulated and baseline studies are conducted to measure the changes after the interventions carried out in the organization.

Monitoring is done regularly in the organization with a focus on how the lower level results are leading to desired higher level results. Accountability by implementing partners and to the donors for EPN had greatly improved since the introduction of a results based management approach. The donors demand for reporting at outcome and impact level leading to more focus on reporting at this level and formulation of indicators that measure change at this level. The findings from M& E in the organization help both the management and project officers make evidence-based and informed decisions for the current and future interventions.

The major challenges from the research are on capacity challenges especially for data collection and analysis. There were also gaps in data storage as data was at times not

systematically stored on the central online server for easy retrieval. Risk analysis and risk monitoring were also not done comprehensively. The management of risk including coming up with risk mitigation strategies is important in RBM as risks can negatively impact on desired results. As a network organization, the involvement of key stakeholders in the problem mapping and analysis is vital and findings revealed that stakeholder participation was not comprehensive especially in the short to medium term plans. The staff incentives were not well structured in terms of aligning them to the results and this is imperative in results based management practice.

5.4 Recommendations

Against the background of the conclusion stated above, there is need for the constant capacity building of staff in both data collection and analysis to augment the current training efforts in the organization. Accurate data is a key ingredient in monitoring and evaluation as it is useful in measuring progress on the indicators. A key finding from the research was that after training; the staff did not immediately put into practice the knowledge gained for example in the use of the Open Data Kit (ODK) software. As a recommendation, in addition to training there is need to put into practice knowledge gained through exposing the staff to actual data collection and analysis as they tend to forget with time. The storage of data needs to be in a systematic way as the retrieval of data is key in establishing and measuring outcomes and impact.

There is need for training in risk analysis, monitoring and the coming up of risk mitigation plans so that there is better understanding of the process with regards to the organization's structure. This will help to ensure that the risk analysis and monitoring process is done more comprehensively. As alluded to earlier; the management of risk

including coming up with risk mitigation strategies is important in RBM, as risks can negatively impact on desired results.

Another recommendation is that there should be funding allocated to M&E for all the programmes and projects that the organization implements. At least 10-15% of the budget should be set aside for M&E. Without adequate financial resources, it is not possible to fully monitor and evaluate the interventions and ensure that desired results are achieved in line with RBM.

One key component of RBM, is the individual and it is important that behavioral issues are considered as these are complex and the success of RBM is dependent on them. Individuals need to be motivated in the right way to achieve results and the right incentives that have the power to influence behavior positively should be put in place in a well structured manner aligned to results. The incentives are also important in sustaining the results based monitoring and evaluation system. The organization should therefore have a structured incentive policy linked to results for the staff.

As a network organization with representation in 26 African countries, there is also need for a more participatory approach in problem mapping and planning for the shorter term plans in the organization as the findings showed a gap in this aspect. This can be done by deliberately engaging the network members more in forums, attending their strategic planning meetings to gain better insight into their problems and priorities and having a liaison desk at the secretariat that offers open communication platforms including engaging on Whatsapp and social media platforms.

Evaluations are very technical and complex especially when it comes to attribution issues and this was also a challenge that was noted in the findings. There is need to build the capacity of the organization in this regard and also seek external experts who

work with the internal staff to build their capacity and sustain the results based monitoring and evaluation system of the organization.

Another recommendation is that to be able to measure and monitor results on outcomes, there is need to use techniques that simplify the data collection such as Lot Quality Assurance Sampling (LQAS). This is a sampling method that requires a small sample size of 19 items (e.g. households, schools, health units) from each cluster or 'supervision area' in order to assess an indicator.

The findings of this study are important to enabling EPN, as the case study organization to address the identified gaps in their results based management approach and make it more effective. Other nongovernmental organizations can use some of the findings of this study to come up with strategies to bridge the gaps in order to strengthen their Results based Monitoring and Evaluation systems. To the academia, the findings of this study can be used as a point of reference in any subsequent studies which can be used to boost the RBM existing body of knowledge.

The recommendations for areas of further research include: the need to conduct research that looks at the effect of risk on Results Based Management in development organization; the role of stakeholders in influencing utilization of Result-based Monitoring and Evaluation is also an interesting area of research especially for network organizations such as EPN. There is also need for a deeper analysis of how data quality, management, storage and data use impacts on Results Based Monitoring and Evaluation.

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APPENDIX I: QUESTIONNAIRE

Serial No.....

Date.....

INTRODUCTION

My name is Julian Nyamupachitu, a student from University of Nairobi. I am pursuing a Master’s degree in Monitoring and Evaluation of Population and Development and one of the university requirements for the award of the Master’s degree is to carry out a research project in areas of individual interest. I would like to seek your consent for completing this research questionnaire on “*An Assessment of the Implementation of Results Based Management Approach in Non-Governmental Organizations*”.

SECTION A: BACKGROUND INFORMATION

Please tick or circle the appropriate number

I. AGE (Years)

< 25 years	26 – 35 years	36 – 45 years	46 -55 years	56 – >
1	2	3	4	5

II. SEX (Please tick appropriate)

Female

Male

III. JOB TITLE

IV. EDUCATIONAL QUALIFICATIONS *(Please tick or circle the appropriate number)*

PHD	Masters	Bachelors	Diploma	Certificate	Others (Specify)
1	2	3	4	5	

V. DURATION OF SERVICE AT EPN

< 5 years	5 – 10 years	11 – 15 years	16 years +
1	2	3	4

VI. From questions 1 – 40 below; please tick or circle the number that best indicates your opinion on the question using the following key:

SCALE				
SD=Strongly Disagree	D=Disagree	N=Neutral	A=Agree	SA=Strongly Agree
1	2	3	4	5

SECTION A: PLANNING		SD	D	N	A	SA
1.	The process of stakeholder mapping and analysis is done at the project planning phase at EPN	1	2	3	4	5
2.	Problem analysis is a comprehensive exercise at EPN, which entails a problem tree analysis (<i>analysis of the causes and effects of the problem</i>)	1	2	3	4	5
3.	The setting of objectives at EPN is a collaborative exercise done after brainstorming with relevant stakeholders	1	2	3	4	5
4.	Are you familiar with EPN's theory of change? (<i>Results you are seeking to achieve and how to get there?</i>)	1	2	3	4	5
5.	Risk analysis is always done at the project planning stage at EPN	1	2	3	4	5
6.	Plans for risk mitigation are put in place following the risk analysis process	1	2	3	4	5
7.	The organization has a clear coherent medium to long term strategy that is both actionable and linked to purpose and objectives?	1	2	3	4	5
8.	There is a clear M&E framework/ work plan in place at the organization?	1	2	3	4	5
9.	You understand the following from the project (s) you are implementing- Project results (<i>inputs, outputs, outcomes and impact</i>)?	1	2	3	4	5
10.	Each project under EPN has an M&E funding component	1	2	3	4	5
11.	Development of project indicators is a team effort at EPN	1	2	3	4	5
12.	EPN has well designed and defined goals for all its projects	1	2	3	4	5
SECTION B: IMPLEMENTATION & MONITORING		SD	D	N	A	SA
13.	EPN conducts baseline studies for all its projects	1	2	3	4	5

14.	The baseline information is utilized by the organization	1	2	3	4	5
15.	Baseline studies are normally conducted before the start of the project at EPN	1	2	3	4	5
16.	Baseline studies are normally conducted during project implementation	1	2	3	4	5
17.	Baseline studies are conducted after the project implementation	1	2	3	4	5
18.	Without a baseline, it is not possible to know the impact of a project	1	2	3	4	5
19.	The tools used during a baseline study are normally the same tools used during evaluation study at EPN	1	2	3	4	5
20.	Baselines studies are carried out at EPN because it is a requirement by the donors	1	2	3	4	5
21.	There is a clear process for regular tracking of intervention performance and progress at EPN	1	2	3	4	5
22.	It is clear who does the roles of data collection and monitoring at the organization	1	2	3	4	5
23.	Monitoring is a regular and continuous process at the organisation	1	2	3	4	5
24.	The organization has clear indicators for measuring results at outcome and impact level	1	2	3	4	5
25.	You understand the outcome and impact indicators and how to measure their achievement in the project(s) you are implementing	1	2	3	4	5
26.	The organization regularly collects data on project outcomes and impact	1	2	3	4	5
27.	Staff have competence in data analysis	1	2	3	4	5
28.	The data collection tools are well formulated and adequate at EPN	1	2	3	4	5
29.	Data is systematically stored in a safe and easy to retrieve format	1	2	3	4	5
30.	The amount of data collected is adequate and not too much at the organization, only the necessary data in line with indicators is collected.	1	2	3	4	5
31.	M & E enhances project management decision making during the implementation?	1	2	3	4	5
32.	EPN always achieves its goals and objectives	1	2	3	4	5

SECTION C: REPORTING		SD	D	N	A	SA
33.	There is periodic reporting at EPN on outcomes and impact	1	2	3	4	5
34.	Information from M&E findings is utilized by management in decision making processes.	1	2	3	4	5
35.	In your opinion the information generated by the current M&E system is used for improving project performance	1	2	3	4	5
36.	Donors always demand for outcome and impact reports, hence influence outcome & impact reporting at EPN.	1	2	3	4	5
37.	Performance of projects has improved as a result of the demand for M&E results at outcome and impact level	1	2	3	4	5
38.	In your opinion the information generated by the current M&E system is used for accounting for resources used in the implementation to donors	1	2	3	4	5
39.	Accountability on projects by project managers and implementing partners is a requirement at EPN	1	2	3	4	5
40.	The demand for results at outcome and impact level has improved accountability in the organization	1	2	3	4	5
41.	Funding has increased as a result of the organization reporting on outcome and impact	1	2	3	4	5
42.	Incentives exist for staff who adhere to good M&E standards (<i>e.g. timely reporting and follow up on agreed indicators</i>)	1	2	3	4	5

VII. a) Please comment on the challenges that affect implementation of Results Based Monitoring & Evaluation at your organization?

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b) What can be done to enhance result based monitoring and evaluation at your organization?

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Thank you for your participation!

APPENDIX II: INTERVIEW GUIDE

The purpose of the interview is to gather key informants' views on the implementation of Results Based Management approach at Ecumenical Pharmaceutical Network.

I. Introduction (5 minutes)

- 1.1. *Thank participant for their time and consent*
- 1.2. *Explain the purpose of the research*
- 1.3. *Provide assurance regarding confidentiality and non-attribution of data*
- 1.4. *Explain the possible intention for further contact after the interview – data validation, sharing of findings*

II. Background Information

Gender of respondent: Male () Female ()

Position in the Organization:

Date:

III. Interview questions (20 minutes)

1. In your opinion, how far is RBM understood and appreciated within the Ecumenical Pharmaceutical Network?
2. How different is RBM performance measurement and reporting from the other earlier systems?
3. Comment on the project planning phase (*problem analysis, objectives setting, intervention logic, risk analysis etc.*) at EPN?
 - a. What can be done to improve it?
4. Comment on the project implementation phase of EPN? (*Including monitoring, data collection, tools for data collection, analysis, storage etc.*)
 - a. What can be done to improve it?
5. Comment on the reporting and use of information generated by M&E at EPN? (*Including whether it is used for learning, management decision making, project improvement etc.*)
 - a. What can be done to improve it?
6. What has been done to improve on outcome and impact reporting at EPN?
7. How would you rate the adequacy of available skills at your organisation to effectively implement RBM? (*Also comment on whether staff receive any training?*)
8. Comment on the resources committed to the M&E function at EPN?
9. What are the main challenges that you face in the implementation of RBM?
10. In your opinion, what should be done differently in the implementation of RBM to enhance its effectiveness?

Thank you for your participation!

