

**ASSESSMENT OF MONITORING AND EVALUATION SYSTEM FOR THE EMBU
WATER AND SANITATION COMPANY LIMITED**

By

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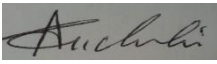
DECLARATION

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


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DEDICATION

This Project is dedicated to my family and individuals who have supported me throughout the development of my research project, Embu Water and Sanitation Company for the opportunity to access their M&E system.

ACKNOWLEDGMENT

I would like to give thanks to my supervisors Dr. Wanjiru Gichuhi and Dr. Andrew Mutuku who helped me through the process of completing the report successfully. Their knowledge in the subject matter is unquestionable and has shaped this research project to the level it is now.

I give special thanks to my family, my mother Recho Langat and my PSRI classmates for their support and patience throughout the study period. This gave me the drive and will to continue with the study to its completion.

Lastly, I want to thank God who has given me grace to this end and enabled me to carry on to this far without thinking of giving up despite the challenges.

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ABBREVIATIONS AND ACRONYMS

M&E	Monitoring and Evaluation
NGOs	Non-Governmental Organizations
EWASCO	Embu Water and Sanitation Company
NSO	National Statistics Offices
ECG	Embu County Government
FHI	Family Health International
SWAP	Sector Wide Approaches
UNAIDS	United Nations Programme on HIV/AIDS
AIDS	Acquired Immunodeficiency Syndrome
CGA	Cereal Growers Association
ASDSP II	Agricultural Sector Development Support Programme, Phase II
KNH	Kenyatta National Hospital
FHOK	Family Health Options Kenya
UNICEF	United Nations Children's Fund
WSTF	Water Services Trust Fund
GIZ	German Agency for International Cooperation

ABSTRACT

The overall objective for this study was to assess EWASCO M&E system. The eight components of focus in this study were capacity building and resources, keeping of documents, collection of information, quality structures, verification of information, Analysis and usage of data, evaluation, leadership and alignment.

The study sought to operationalize FHI 360 tool for assessment of the M&E system and 20 people were used with purposive sampling. Interviews were done and documents reviewed. It employed descriptive statistics during analysis of the collected data. The EWASCO system scored an average of 76% and was rated “fairly good”. Quality systems of data were the highest score with 91 percent, Data use and evaluation scored 66 percent which was the least score. The identified advantages were: procedures that were well outlined, partnerships that were strong, data collection tools that were standardized. Shortcomings were: budget that was minimal, staff that was not adequate, inappropriate skilled workforce, improper M&E procedures documentation, no data analysis and application, finally, nothing shows that the results were applied to improve on the program impact.

The study recommendations included: increased budget allocation to at least 5% of the budget, employ staff to the M&E section, regular system assessments to ensure its functionality, the organization should have a proper documentation for the system to improve its efficiency and use, the organization should provide limited access to promote security of data and future access, Consistent follow-up of definitions on data transfer to summary formats and reports, tools filled with completeness and correctness, with good feedback systems. indicators measurable to ensure quality of data from collection to analysis.

CHAPTER ONE

INTRODUCTION

1.1 Background of the Study

Monitoring and Evaluation system is defined as a set of procedures which are giving direction on how information flows in an organization to different management departments for decision making and learning (MDF, 2011). Many organizations formally or informally develop and use their information system for M&E work and call it M&E system. As a result of activities monitoring, the organization is able to keep track of the progress of the intervention. The M&E system is designed in such a way that it always focuses on processing and archiving monitoring data and making room for up-loading the evaluation reports.

One of the key management tools critical for enhancing sound governance is M&E. It provides evidence used in policy decisions and evaluating effectiveness of a development program. World Bank and IMF (2005) understood the significance for strong and vibrant systems necessary for enhancing effective development initiatives and accountability. There was globalization pressure on all programme management to take full responsibility to the demands of stakeholders for good governance. A functional system is a viable strategy that can be applied in the betterment of the operation of the projects. Monitoring and evaluation in Kenyan organizations has not yet reached an acceptable level of operation (Odhiambo, 2000).

Estrella and Gaventa (1997) acknowledge that M&E had evolved over time to the need for result- based management, limited resources and involvement of non-state actors in development. In Kenya M&E has evolved with time. The first National Development Plan (NDP) 1966–1970 was targeting raising standards of living of Kenyan citizens (GoK, 1966).

In 1970s the common practice was for projects to have M&E unit and the main purpose was to be used as a management tool. The second NDP (1970 - 1974) targeted at achieving economic independence of the country. In the 1980s the focus shifted from the project to sector wide approaches (SWAPs) and many monitoring activities were moved and re-centered to the project

level. The result-based management gained popularity with the beneficiaries in focus. Emphasis was made for measurement of results which called for need of wider range of data tools and resources.

In the 1990s poverty issues in Kenya was the main focus. The seventh NDP (1994 - 1996) theme was “mobilization of resources for sustainable development”. Identified was that despite the much previous effort, the country still lacked a method for M&E implementation. During the year 2000, the need for effective monitoring was realized and poverty index went up in most countries. The first target was the year 2015 for achieving the millennium development goals.

Monitoring is an assessment involving data collation, driven by emphasis on efficiency for primary project control Crawford & Brye, (2003). Monitoring and Evaluation are both assessment of an active program which involve implementation and outputs (Uitto, 2004). These are complementary processes yet different (Gorgens and Kusek, 2009). The system existed since longtime ago (Kusek and Rist, 2004). It was used to show performance growth with demand. Monitoring and Evaluation system are components related and serve the same purpose in implementation and outputs (SAMDI, 2007). An ideal M&E system is independent, credible but maintains its relevance (Briceno, 2010), hence influence policy making and is responsive to the decision makers at any given time.

In Asia, development participation is fundamentally accepted as to address ownership and sustainability issues. When it is development of M&E systems, CSOs engage experts on intentions, variables and processes with minimum engagement of target population from the host country. (INTRAC, 2008).

The America president in 2003 announced the President’s Emergency Plan for Aids relief and committed a significant amount of United States Dollars, (Measure Evaluation, 2016). It could be seen that a good amount of resources was allocated on several programs within the country with the need to demonstrate that the fund met the objectives hence the importance of adopting the assessment in principle.

According to (Mackay, 2005) the Australian government started implementing the M&E system strategy as early as 1987 when it was created and operationalized within the finance department. The venture was a success since they enjoyed strong institutional and management structures.

The government of Ghana recognized its importance in public agencies (Libanda, Nkolola, Nyasa, 2016). projects carried out outside this framework never benefited from desired integration. The law was created and policy established with prescribed elements. (Libanda, Nkolola, Nyasa, 2016).

The factor projection in Botswana, is the determinant of the efficient resource management using M&E tools and processes (Hawkins, 2004).

1.2 M&E System for EWASCO.

Embu Water and Sanitation Company was registered as a private company limited by ordinary share capital by Embu Municipal Council in March 2003. It started its operations on March 2005 and open its stores for financial operation which were separated from Municipal Council on July 2005. With devolution, the shareholding was transferred to Embu County Government (ECG). EWASCO is wholly owned by ECG and operates under Tana Water Services Board. (EWASCO strategic plan, 2017-2022).

Embu Water and Sanitation Company's mandated area of coverage is 972 km² while the area currently supplied with water is estimated to be 771km². The total population living within the Company's area of jurisdiction is estimated to be 198,027 out of which 152,430 (76.97%) people are currently being served by the company. Sewer connection is mainly within Embu town where the number of connections has increased from 1,200 in 2006 to 3,784 in June 2017 (EWASCO strategic plan, 2017-2022).

EWASCO has three main water sources: Kapingazi water intake works, Rupingazi water intake works and Thuci intake works for the Kanyuambora supply. It relies on gravitational flow for water distribution. Since inception, the company has increased water supply capacity from 2,000 m³ per day in 2005 to 12,000 m³ per day in 2012 and to 28,000 m³ per day in 2014. The Kanyuambora supply which is separate from the main supply has a design capacity of 11,000 m³ per day but supplies only 1,000 m³ per day. In terms of water connections, there has been

increase from 4,000 in 2006 to 23,895 in June 2017. The Company serves industrial, institutional and domestic users. Sewer connection is mainly within Embu town, the connections has increased from 1,200 in 2006 to 3,784 in June 2017 (EWASCO Strategic Plan, 2017-2022).

EWASCO has an M&E framework within their strategic plan with specific objectives to ensure the organization is exhibiting results and tracking progress, build capacity to systematically and routinely track progress for better sanitation and clean water, facilitate assessment of its performance indicators, objectives and targets. The organization had developed and put in place the system to track how the population is accessing clean water and proper sewerage system among urban low-income area dwellers and accessible to the public (EWASCO Strategic Plan 2017-2022). There was the necessity to study the functionality for the system covering the entire sanitation service chain incorporating social marketing, technical for infrastructure, emptying and transportation as well as business and financing models' concepts.

1.3 Problem Statement

Over time, M&E systems had been used to report on program performance. As a result, assessments have been done on internationally led M&E systems with the aim of confirming if there is conformity to the international standards (Mbondo et al, 2013; MEASURE Evaluation, 2013, Ogungbemi, et. al, 2012; USAID, 2010). Findings revealed existence of Knowledge gaps in particular systems' strengths and weaknesses, Poor institutional frameworks that limits the functionality in informing decision-making.

M&E systems provide integral management tools through different team in collection and analysis of information collected and making relevant decisions that can ultimately give needed results (UNAIDS, 2008). There was emphasis on the significance of regular M&E systems evaluation with an aim knowing the status of the system and point on areas to be improved.

This is important if an organization is to develop policies that seek to improve on their objectives. It is necessary overtime to align the M&E system for better outcome (global fund, 2006; UNAIDS, 2009a). There is no evidence that Embu Water and Sanitation Company M&E system has been assessed before. The assessment determined its functionality in key M&E components and capacity to meet its objectives.

1.4 Research Questions

- i. Which are the gaps in Monitoring and Evaluation system of Embu Water and Sanitation company?
- ii. What is the level of use of Monitoring and Evaluation Systems in Embu Water and Sanitation Company?
- iii. What are the recommendations for Monitoring and Evaluation Practices to Embu Water and Sanitation Company?

1.5 Objectives of the study

The general objective of this study was to assess the Monitoring and Evaluation system of the Embu Water and Sanitation Company.

The specific objectives of the assessment were:

- i) To identify strengths and gaps of Monitoring and Evaluation Systems for Embu Water and Sanitation Company.
- ii) To determine the level of use of Monitoring and Evaluation System at Embu Water and Sanitation Company M&E system.
- iii) To make recommendations for improving monitoring and evaluation practices at Embu Water and Sanitation Company.

1.5 Justification of the study

Assessment the system is necessary since it brings out system compliance concerns with standards of a functional system in measuring performance and impact of outcomes. It contributes to knowledge, identify gaps and provides information to enhance program impact on policy and practice. Information generated is used to make informed decisions in improving service delivery and innovations (Hailey, 2000).

This assessment was meant to reveal detailed information on whether the system conformed to the standardized monitoring and evaluation practices. Besides, it was also purposively meant to identify the challenges experienced by the Embu Water and Sanitation Company M&E system and recommend solutions that can be used to improve the system. The bone of contention

however was: - does the EWASCO M&E system comply with prescribed and standardized M&E system? If the answer is no, then this research will reveal the reasons/challenges and propose possible solutions. The assessment results will be used to inform improvement of the EWASCO M&E system. Therefore, the purpose was to evaluate the system to ascertain its functionality, identify the strengths and weaknesses and determine whether its output is used to inform implementation of Embu Water and Sanitation Company strategic plan 2017-2022.

There was no evidence to show that Embu Water and Sanitation Company M&E system had been studied to confirm if it produces outputs that were crucial to enable project managers make informed decisions on projects and programs implementation. This evaluation sought to address the gap through assessment of 8 key components. Furthermore, the recommendations from the assessment of the components would be used to inform the functionality of Embu Water and Sanitation Company M&E system. M&E is imperative to enable organizations track their performance, measure the effects of managerial actions and decisions making for effectiveness to inform policy and programs.

1.7 Scope and Limitations of the study

The literature focuses on how the 8 components can be improved and areas to focus on during M&E system strengthening process. In addition, conducting data collection and analysis on all the indicators will not be possible due to time constraints. There is no literature available on the assessment of EWASCO M&E system. The study covered only one site i.e. EWASCO headquarters in Embu with about 20 members of staff. It focused on assessing the M&E system without looking at other organizational level systems. Since the research design used in this assessment is a non-experimental design without the comparison group it was not possible to determine what would have happened in the absence of the M&E system.

There is no literature on which score of an M&E system can be graded using ordinal scale- non-numeric with order and rank but the differences between each one is not really known. Literature on M&E system assessments only focuses on how each component can be improved and areas to focus on during M&E system strengthening process. Besides, carrying out data verification on all the indicators was not done due to the fact that similar and repeated performance indicators were matched and standardized.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter focuses on literature on M&E systems, bringing out the merits of a comprehensive system considering 8 M&E components. In addition, the chapter gives an account of an operational framework.

2.2 Evolution of Monitoring and Evaluation Systems

2.2.1 M&E globally

It existed from beginning of the world and its application as a tool for management has grown with demand by users for transparency and accountability by NGO's and government institutions (Gorgens et al, 2010). Financial institutions focusing on development use the system to understand the systems functionality and openness (Briceno, 2010).

In Yemen, the functions were done through a specific division responsible using the available procedures (USAID, 2020). It had a commendable experience by commencing project activities at an early stage without access to project funds. The lengthy procedure of obtaining authorization affected the process of developing a budget and systems adoption recommended for the program.

A monitoring and evaluation (M&E) system can simply be defined as a system designed to guide the process of collecting, analyzing, and using data with the purpose of measuring and documenting achievements as well as continually informing program planning and policy decisions. As such, it is crucial to programs and projects that efficient and effective M&E systems are put in place to guide this complex cycle. FHI 360 recognizes the importance and expected outcome of M&E systems, not only in producing high quality data, but also in ensuring that the necessary human and financial resources, infrastructure, equipment and supplies, and capacity of the underlying system are in place to support the production, analysis, and use of

data. With this in mind the M&E System Assessment Tool was developed to support programs and projects improve the quality and effectiveness of their M&E systems. (FHI 360, 2013).

The system has evolved over time as an important tool of management since ancient times drawn back many years when it was utilized to track outputs in livestock together with grain monitoring. (Kusek, Rist,2004).

M&E began as an applied research with emphasis on evaluation during 1970s (Roger & Merchants, 2008). However, this perception was later challenged with a view that it was a tool of management. Emphasis was on budgeting, project level budget management, with those involved having financial, M&E reporting systems and project interest.

In 1980s, the strategy was changed to that of sector wide approaches (SWAPs) with interest being that of M&E activities through coordination and advocating development planning. Monitoring and Evaluation changed to functions and later M&E units established within government. The national statistics offices (NSO) did not participate in evaluation and monitoring of programs, occasionally doing baseline surveys but not fully set up to do M&E activities. This corporation were unsuccessful.

In the period 1990s, there was shift in focus to poverty reduction strategies (PRSPs), RBM gained popularity leading to change from monitoring of outcomes to measurement of results. (World Bank, 2009). During the time, NSO's became involved in monitoring activities.

The expressive analysis that NSOs did was of government policies and their impact in improving the living standards. Appropriate analytical capacity was found in universities and research centers. However, suitable capacity for analysis was developed at the time, and some good poverty assessments done.

The idea of monitoring and evaluation systems was embraced in the early 2000 by the millennium development goals. The indicators were used to assess the monitoring and evaluation system. Result based approach has gained some focus in the recent past which has some elements of monitoring and evaluation in areas such as poverty reduction and living standards of people improvement (Zhou and Hard life, 2013). Monitoring and evaluation however, has relation to results based management approaches. (Kusek and Rist, 2004), acknowledge that

results-based approach uses both traditional approaches to monitoring and evaluation and allowing measurement of results at the same time.

2.2.2 M&E Systems in Africa

Many local programs have no functional monitoring systems attributed to non-allocation of resources at the design stage. Choice of indicators also came with its own inconsistencies which led to incoherence in the monitoring and evaluation systems. During the process, it was observed that information from M&E occasionally influenced decision making though it influenced designs as well as informing policies. Finally, the country relies mostly on consultants from other jurisdictions hence recommended capacity building for in-country experts to support different sectors as the knowledge is expanded through various training programs.

On productiveness and effectiveness of M&E system for bank financed programs, Burkina Faso, Mauritania, Rwanda and Mozambique through desk reviews and interviews for programs done between 1987 and 2000 according to Koffi-Tessio (2002) it is defined by the quality, pertinence and the timely production of information on output as well as the project effects. The system is perceived to be automatically controlled by management hence short of satisfying the real intention of its creation as a tool guiding on the policy decisions.

The experience of setting up M&E systems in African countries is important to poor countries when preparing poverty reduction strategies and lessons learnt are relevant in building M&E capacities building, particularly where there is potential donor assistance. These lessons are also shared with the developing countries which are rarely committed to improving their M&E systems. The need to prioritize monitoring and evaluation has become a repeated slogan widely positively embraced by both donors and governments.

In Tanzania there was a health technical working group composed of donors and government, which analyzed sector performance, reviewed M&E systems and also identified M&E capacity building merits. The programmatic leading to poor African countries revealed another way to solve harmonization problems as it reduced the project-specific scope and the donor balkanized scope of the M&E system (Teklu, 2008).

In Uganda the World Bank provided a practical and realistic budget to the state operatives. The government of Uganda understood the need of having comprehensive and reliable performance data which is always available for scrutiny and used in national planning and budgeting. The country had a number of M&E systems and became the first country in Africa to use Public Expenditure Tracking Surveys (PETs) (Hauge, 2001)

The assessments by Mackay (2007) exposed a large number of unsupervised and poorly coordinated M&E systems at sub-sector levels. Besides, a data collection burden was revealed in an assessment that was done and based on the three sectors (health, education and water & sanitation) at the facility levels. The three sectors carried out data collection on about 1,500 indicators for nearly 500,000 data entries per year for each of the administrative 120 units in the country. The missing components were the measures of client satisfaction and outcome measures. The quality of data was very poor and unreliable. Site inspections in health sector had cost 1,400 staff annually which was time consuming of medical personnel. As a result, sector ministries and agencies used in most cases inspection visits and not self-administered performance indicators.

The challenges that African states are facing are not only developing new M&E systems but also rationalizing and improving the existing M&E systems. Firstly, there are problems with data quality (either too much data or not enough information) and unharmonized donor requirements. Secondly, there are weak government demand for M&E information. Although no perfect M&E system is expected in African countries today, a number of key elements of M&E system can feasibly be undertaken.

According to the Mackey (2004) assessment, some of the Tools, Methods and Approaches used were: Financial Management Information Systems which supported best tracking methods of government spending; Public Expenditure Tracking Surveys used to detect and tame corruption effects; Service Delivery Surveys of clients' satisfaction and perception of the public services; Rapid Appraisals for government's projects and programs; National and sector statistical

collections was meant to deal with national MDGs related issues; and the analysis of sector ministries' administrative data.

In Kenya the Economic Recovery Strategy (ERS) acknowledged that for a long period of time, M&E in Kenya has been done in an *ad hoc* manner, without a coordinated system and mostly it was due to donor demands. There was therefore the need to improve economic governance through an integrated system for M&E that would provide a sound means for evaluating the efficiency of programmes. The system was to provide the much needed economic policy implementation feedback and form the foundation for a clear process which both the government and the donor community could undertake. Key indicators to be used in measuring efficiency were therefore identified (GoK, 2002).

2.3 Components of Monitoring and Evaluation System

Various authors have identified components that comprise an M&E system (UNAIDS, 2008; 2009a; World Bank, 2009). Applying the system thinking, the World Bank was able to identify twelve components of M&E system (Albino & Nzima, 2006; World Bank, 2009). Like other systems, a monitoring and evaluation system has inter-related components that enable it function.

Those relating to people (Organizational structures; human capacity; partnerships; work plans and cost; Advocacy and culture; M&E plans), data collection & verification (Surveys; Monitoring; Databases; Data auditing & supervision; Evaluation & research) data use in making decisions (Using the data to improve results).

The 12 components of Monitoring & Evaluation system have been used as a base for assessment at organizational level. World Bank (2009) recommends that an organization should have the monitoring and evaluation components gradually in circumstances where there are resource constraints. This should be guided by needs assessment such that the M&E system starts with components that are important for start up and running of the M&E system before expanding to other components (World Bank, 2009).

2.3.1 Planning, People and Partnerships

According to (UNAIDS, 2008), This category of monitoring and evaluation involves: M&E functions within organizational structures such as human resource capacity, Partnerships, M&E Plan; Costing of activities, culture with communication. In any organization, it provides a way to assess the crucial link between implementers and beneficiaries on the ground and decision-makers; it adds to the retention and development of institutional memory; it provides a more robust basis for raising funds and influencing policy. (UNAIDS, 2008; UNAIDS, 2009). It is imperative that there be a framework harmonizing efforts of more sectors for enhancement of synergy (UNAIDS, 2009). Finally, personnel working within this section should be knowledgeable.

Furthermore, if there is need it should be from the plan which has to present data needs, indicators and tools, not limited to roles of the M&E personnel (UNAIDS, 2008). An operational system should have an annual work plan comprising specific cost of activities and pi-point sources of funding (UNAIDS, 2009). Finally, there was need to have culture promotion in supporting M&E activities and seeking alternative observation with concrete evidence which will inform policy and practice. (AIDS Centre, 2010)

2.3.2 Information and Data

(UNAIDS, 2008) points out as comprising the following elements: Regular monitoring; surveillance and surveys; databases; data cleaning and supervision, research and evaluation. In regular monitoring, an operational system performs quality regular monitoring to inform decision making while surveys and surveillance check the background factors.

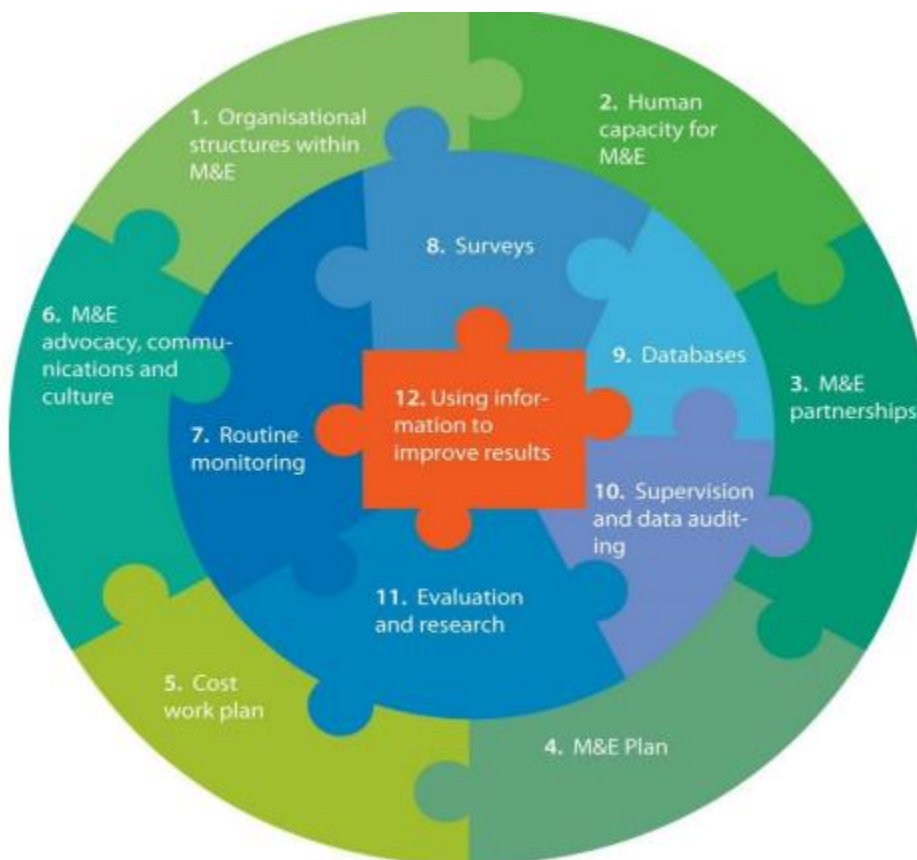
Generated program data are achieved in the databases which are then retrieved for purposes of processing and interpretation with the aim of increasing intervention through understanding of the context (UNAIDS, 2008), adequate support for relevant M&E infrastructure to serve the purpose. In an operational M&E system, supervisors guide their juniors and create good execution plan for related events (Business Daily, 2014). Research and evaluation is key for operational systems by ensuring outputs that leads to understanding of the context, direction and outcome (Jones et al, 2012; Sleek et al, 2011).

2.3.3 Use of Information.

An operational M&E framework has a twelfth component which is referred to as data dissemination and use'. The information should be shared to stakeholders for accountability and decision-making purposes. (UNAIDS, 2008)

There was more emphasize on regular system assessment to help identify areas of improvement and improve on its efficiency.

Figure 2.1: Organizing M&E Framework.



Source; (UNAIDS, 2008)

In putting the monitoring and evaluation mechanism in place, organizations borrow heavily on the systems approach (Laszlo & Krippner, 1998). Laszlo and Krippner identify a system as "a group of interacting components that conserve some identifiable set of relations with the sum of

the components plus their inter-relations conserving noticeable set of relationships with other entities". Therefore, based on this definition it is arguable to assert that an M&E system would collapse if any of its components failed to work in harmony with other components of the system and the whole system. This assertion is consistent with the second law of thermodynamics stating that "entropy in most cases increases in any closed system which is not in balance, and remains constant for a system which is in balance."

2.3.4 Participatory M&E System Assessment

Significance of these systems and the expected outcomes as recognized by FHI 360 produces quality data, human and financial resources, infrastructure, equipment, supplies and capacity of the underlying system are in place to support the production, analysis, and use of data. Therefore, it was developed to support programs improve the quality of their systems. (Wamalwa, 2013).

The main objective was strengthening the output of the program through provision of an overview of how it functions, strengths and weaknesses and chart a course for its future; have synergy in different; Increase knowledge; Support the systems development (Sikuku, 2016)

2.4 Empirical Literature on Assessment of Monitoring and Evaluation Systems

Musili, (2018), The Cereal Growers Association assessment was carried out. Its main objective was to determine the status. It applied a cross-sectional research design. Mixed method of data collection was used. There were 48 respondents interviewed and results revealed that five out of 12 components to a large extent met the international standards which included; organization structures, stakeholders to organize, coordinate the systems, regular program assessment, surveys. The other components were moderately functional. The system was important in assessing implementation of the program on strategy and planning. The study concluded that Cereal Growers Association M&E system was functional.

Wamalwa, (2019) assessed the Postal Corporation of Kenya System. Overall objective was to determine whether the system was operational. It aimed to know how people, partnership and planning supports its the efficiency in collation, processing and meeting expectations of a functional system. Finally, dissemination and utilization were key. FHI 360 participatory system assessment tool was operationalized with 68 targeted sample selected using purposive sampling technique. Data collected through questionnaire administration, interviews and document review.

Information transformed into usable data figuratively. The output showed Postal Corporation of Kenya M&E system had an overall score of 56% rated “fairly good”. Data collection and management variable was rated 60% while data analysis was rated at 50%. It recommended that Postal Corporation of Kenya have a functional M&E system. Moreover, Postal Corporation of Kenya management should perform regular assessments in order to improve on the program results and share the results with stakeholders for decision making.

Ng’ang’a, (2019) assessed the M&E System of the Agricultural Sector Development Support Programme, Phase II (ASDSP II), The objective was to know the level at which it is meeting the standards of a functional system. 12 components were operationalized as a standard framework. Data acquired using structured questionnaires. Data analyzed check on complementarity of each indicator as is expected on a system that is working as required. The general performance of the system was at 77%. This indicated that it surpassed the expected operational standard. However, recommended ASDSP role would be to ensure regular evaluation activities. Finally, there was need to disseminate relevant information to the targeted groups and plan developed for stakeholder engagement and follow-ups to ensure it was applied in decision making.

Sikuku, (2018) assessed the M&E System of Kenyatta National Hospital with its objectives to assess its complementarity with international accepted operationally. It applied descriptive case study design and purposive sampling approach. Data collection was through document review and structured questionnaire. Data analysis was through descriptive statistics. The system scored 47%. Most of the M&E systems scored between 40-50 percent confirming non-functionality. The key advantages were costed work plan, mechanism for information dissemination and standardized data collection tools. The study identified the shortcomings to be resources allocated for M&E work, no trained and skilled staff, poor framework. The study recommended the establishment of an independent M&E unit and recruitment of trained and skilled M&E personnel.

Lumula, (2018) assessed the Africa Enterprise Challenge Fund System whose general objective was to set the standards and know its ability. The main data sources of data were interviews and document reviews. Data analyzed through descriptive methods. The overall score was 75% implying that the system was functional. It also showed that some components scored very high

while others scored very low. The study recommended that the lowest scoring components be strengthened to be fully functional.

Kasyoka, (2018) assessed the Youth Enterprise Development Fund systems. The main objective determined its status contribution to the improvements of the program. A research design was applied establish weaknesses and areas where the system performs its executions as expected. The UNAIDS framework was adopted to implement the assessment research. Information collation carried out through questionnaires designed according to the objective of the research. The system functionality was at 74%. The key strengths identified included workable partnerships, proper alignment of indicators, regular communication and advocacy, most probable deficiencies included unskilled human resource, documentation, inadequate evaluation and research capacity and data quality assessments. Its recommendation was the framework to be updated according to the current foregoing's and aligned the existing strategic plan for the organization, different areas of YEDF system updated in the M&E plan, draw a clearer and specific budget lines, regular data verification be undertaken and corrections made where necessary before data sharing, build targeted and customized capacity to field-level human resource.

Njoka, (2015) Did a research on Family Health Options Kenya Monitoring and Evaluation system. Its overall objective was to reveal the state of FHOK system how they work towards improving the program. The specific objectives were: to explore whether established M&E standards were met; reveal strengths and challenges of the system; determine how the information are used to improve the program. The general workability of the M&E system in terms of percentage was 62% as an average figure from the components as recommended in FHI 360 (2013). Main shortcomings in the evaluation system were documentation and inadequate system assessment skills. It contributed towards program improvement in a number of ways: monitoring progress against targets; accountability to interested parties, studying & making better program implementation strategies; discovering new innovations and making it possible for reaching the right target stakeholder and strengthening efficiency of FHOK program. The key recommendations made included: need to update the M&E Framework into an M&E Plan, document all aspects of the system, regular data verification exercises (Njoka, 2015).

Samoei (2016) did Assess UNICEF Kenya Country Office M&E System. The overall objective being to confirm whether it met the established operational objectives for the system and identify its strengths and gaps. It employed cross sectoral research design. Data collected through questionnaires, focus was on the 12 components. The components were analyzed guided by its elements performance and averaged to show the general performance of the system. It was shown that the average score was 72% to confirm functionality. Its key strengths are: project monitoring, surveillance & surveys, auditing & supervision, evaluation & research. Study advocated for regular study of the needed skills relevant for the staff, partnering with more middle and higher institutions of learning to build capacities through training and research, improve supervision of training activities, inventory of participants established, regularly updated and followed-up for better sharing of information.

Onduru (2019) on support and challenges to the Implementation of Action Aid's Women Rights Program: adaptive management approach was applied. The study adopted case study approach in examining and presenting the facilitators and challenges to the application the approach. The results showed that the Program at Action Aid had adopted a generic cyclical adaptive management approach steps that included: conceptualization of the situation which included definition of objectives such as: planning and monitoring actions; implementation of the actions and subsequent monitoring of the process; analyze the results by use of the results and adapting method and finally capturing and sharing information to inform decision making and policy. The approach requires strategic decisions that are made and modified as a function of the output. Decisions therefore should modest in the scope, scientifically informed and flexible. Moreover, implementation of the conventional practices required adoption of M&E processes and tools that allow learning from past experiences, allow changes in the middle of the program, build capacity for the program human resource, address organization systems and adequate resourcing strategies from the study results.

Welime (2019) undertook a study on the National Integrated Monitoring and Evaluation System (NIMES) in Kenya. The main objective in the study was assessing whether NIMES carried out monitoring effectively or not. The study employed the 12 components according to UNAIDS(2009) used to assess the M&E Systems. It employed the Delphi research way and

purposive sampling methods. The output showed that the M&E tool being assessed is fairly functional given the main indicator variables that are non-existent. There was no regular supportive supervision by management and data auditing. There was no institutionalization of research and evaluation agenda. The recommendation was an increase in follow up activities on the staffs who were employed to manage the monitoring and evaluation system and regular build up to ensure operationalization by the targeted components and prioritizing those critical components such as surveys and surveillance and supportive supervision which were least performing. The assessment proposed more research assessments with more emphasis on scientific approaches and allocation of the importance to each items of study in making good order to support making the components to work.

Gituru (2016) Assessed the Monitoring and Evaluation System of Shining Hope for Communities (SHOFCO, Kenya). The main interests of the research were to determine whether their system for SHOFCO met requirements of a functional system and the components of resources and capacity building. It was directioned using systems approach; identification of the related evaluation items and assessment of its operationality. It utilized research design in collection of information in different indicators. Interviews and questionnaires were used to collect information from the 9 targeted team. Information analyzed using both qualitative and quantitative designs. Results of the assessment showed SHOFCO'S monitoring system as having satisfactorily satisfy the operational expectations with a performance average of 172 of 202 hence an 85% achievement. Plans, guidelines and operational documents indicator scored below expectations at 47% and data verification indicator achieved 100% score. The assessment recommended that SHOFCO leadership needs to come up with rules for training of people joining the team about the evaluation system and come up with a training program that is long-term to help raise awareness among the team on critical areas like information analysis and system assessment. The leadership was also requested to come-up with an elaborate program Management Plans (PMPs) with functional explanations about program indicators. Document data backup procedures be written down and stored safely as well as project databases so as to codify company awareness in cases of members exits.

Olwa (2016) Assessed the M&E system of the Centre for Mathematics, Science and Education in Africa (EWASCO). Main interest for this study was to know the operational stature of the systems of the organization and its contributions towards the improvement of the projects. The study applied a cross-sectional design. Use of mixed-methods process in collation and processing collected information. Cross-sectional research design was utilized as it allows description of current system used by the organization. Information collated through documents review, questionnaires administration and focused group discussion. It was guided by 12 domains according to UNAIDS (2008).

Murungaru (2018) Assessed the National Malaria M&E System in the Division of Malaria Control, Ministry of Health. The assessment determined status for the National Malaria System and to identify strengths and gaps in the system. The study employed mixed method approach design that allowed for the status of the system to be assessed. The target populations were key informants from the Division of Malaria control since it is the division responsible for the system. Data was collected through desk review of DOMC documents, key informant interview and checklist. Overall, the National Malaria Monitoring and Evaluation system scored 46% from the assessment. The system scored highest in documentation, plan and guidelines. The lowest score was in the data quality system. The system did not have a way of auditing the data that it collected. It was recommended that the DOMC invest more in data collection and quality assurance especially at the facility and county levels.

Ndegwa (2018) Carried out a study on Assessment of the Monitoring and Evaluation System of Kenya Forestry and Research Institute. The purpose of this study was to establish if there were structures for people, partnership and planning for KEFRI M&E system, review mechanisms for data management processes at KEFRI and establish if there is evidence of dissemination and use of data from KEFRI M&E system in decision making.

The assessment of this M&E system adopted the 12 components. The study employed a descriptive case study design to assess the M&E systems of KEFRI. This study utilized a purposive sampling approach. Data was collected through administering of questionnaires. Each of the 12 components was analyzed independently based on the performance of their respective elements.

After the assessment, KEFRI had an average score of 68%. The key strengths of KEFRI M&E system include strong M&E partnerships, costed work plans, continuous communication and advocacy to improve programme. Key gaps that were identified include inadequate staff with the required knowledge and skills in M&E, documentation of M&E procedures, inadequate evaluation and research capacity of M&E staff.

The study recommended that in order to have a fully functional system, program and M&E managers should ensure that their M&E system meet the conventional M&E system requirements. Further, they should avail frameworks to support M&E systems through employing M&E systems' quality management practices and providing structures for assessing the crucial M&E system components as prescribed by Monitoring and Evaluation Reference Group (MERG).

Masia & Migide (2018) Did an Assessment of the Monitoring and Evaluation System for the National Council for Population and Development. The purpose of the study was to assess the capacity of NCPD's M&E system to meet performance objectives, identify gaps and determine appropriate interventions.

The study employed a descriptive case study design to assess the M&E systems NCPD and utilized a purposive sampling approach. The MECAT tool was used for data collection and analysis. The results revealed that NCPD had a fairly good M&E system which had an average score of 7.5 out of 10. Nine out of 12 capacities scored more than 8 points with organizational structure being the strongest at 9 points out of 10. Human capacity for M&E which had an average score of 2.4 out of 10 and M&E partnership and governance with a score of 3.9 out of 10 were the weakest.

The study therefore recommended that NCPD should employ strengthening measures on human capacity and partnerships. Additionally, future assessment should employ all tools available in MECAT so as to achieve in depth results.

Obunga (2017) conducted an Assessment of Monitoring and Evaluation System of Plan International Kenya: A Case Study of Young Health Programme and Adolescent Girls Initiative Kenya, Nairobi. The overall objective of the assessment was to determine the status of the Plan

International- Kenya Monitoring and Evaluation system with focus on eight components according to FHI 360, 2013. Descriptive statistics was used to obtain information concerning the current status of the case study. The study sought to use both primary data, such as interviews and focused group discussions and secondary data from Statistics Reports, Project Reports, Plan International Strategic Plan, Internal Reports and past literature. Data was collected through documents review and observation. The study employed both quantitative and qualitative data analysis techniques.

On average, the M&E system of Young Health Programme and Adolescents Girls Initiative Kenya Projects of Plan International- Kenya scored 60.2 out of 100 meaning the system was partially functioning and consequently, needed strengthening to be fully functional.

Odieny (2016) did an Assessment of Monitoring and Evaluation System of the International Commission of Jurists (ICJ), Kenya. The study was done to determine if the International Commission of Jurists (ICJ) M&E system meets the conventional M&E system standards using qualitative research approach. The study adopted purposive sampling which was used to select key informants for the assessment, attaining a sample size of 13 employees. This study embraced the 12 components M&E system assessment using a participatory approach. Both primary and secondary data sources were used. The study used key informant interview guide and review guide for data collection. Data analysis was carried out using Microsoft Excel 2010. The study established that ICJ M&E system attained a score of 48 out of 80, representing 60 percent. Scores varied within components with data use and advocacy and communication scoring the highest at 88% and 86% respectively, whereas national and sub national data bases and M&E work plan scored the lowest at 17% and 33% in that order.

The study recommended that ICJ needs to increase the number of its M&E personnel to meet the prescribed threshold as it develops its organizational structure with M&E posts. ICJ should adequately maintain its databases for M&E purposes by developing and conceptualizing electronic data collection. ICJ should make an effort to involve programme beneficiaries in evaluation so as to build capacity. Finally, ICJ needs to provide standard management process for its data as a way of routine management system and assuring quality in every step of its data use and M&E.

Atika (2016) Assessment of National Monitoring and Evaluation System for National Aids Control Council (NACC), Kenya. The objective of the study was to determine the extent to which the NACC M&E system meets the expected standard as it reports on national indicators of HIV/AIDS in Kenya. The assessment used descriptive statistics case study design. Mixed methods approach (quantitative and qualitative) was used for data collection and analysis. Data was collected through document reviews, key informant interviews, self- assessments questionnaire with 21 staff that were purposively selected. The main areas of focus were NACC, NASCOP and MoH. The results from the assessment indicated that there was a functional M&E system at NACC supported by sub systems at NASCOP and MoH and other levels. Existence of uniform data collection tools and IT equipment to run district health information system software were noted as some strength within the system. On the other hand, inadequate staffing at NACC and NASCOP were noted as the main challenge which affected performance of the system. The issue of funding was cited as the main reason why most activities were not conducted.

The study recommended that the amount of money allocated to NACC and M&E units should be increased to allow for all planned activities within the organization and department take place. Also, a more inclusive assessment should be conducted involving various stakeholders with national representation to have a better and deeper understanding of functionality of NACC HIV M&E system functions.

Ogunbemi, (2012) Assessed the monitoring and evaluation system for monitoring HIV response in Nigeria, National Response Management Information System (NNRIMS) generated a framework for monitoring and evaluating the countries response to HIV in the year 2004. The system had many challenges which were hindering it from reaching its optimum level. The challenges included a poorly coordinated vertical reporting system, unhealthy competition among sectors, and the rapid emergence of the improperly linked M&E sub- systems. An assessment of existing M&E system was conducted with main objective of verifying the system's capacity to provide required and demanded data for monitoring activities and identifying the programming gaps. The assessment adapted an organizing framework developed by UNAIDS, to point out the strengths and weaknesses of NNRIMS. The approach used was

participatory, led and owned by the stakeholders for consensus building and adoption of a vibrant national HIV M&E system

The assessment used both qualitative and participatory approaches to achieve consensus building by discussion and reflection. The main activity of the assessment process was using the 12 component tool by stakeholders to draw a comprehensive strategic plan. The assessment was conducted in three major levels: desk review, key stakeholders' interviews as well as the stakeholders' M&E assessment workshops. At the end of the assessment, NACA composed a technical team to carefully analyze the assessment results and use it to develop a detailed costed national M&E work plan by the end of 2009.

Chisinau (2015), According to the assessment of the National HIV M&E system in the Republic of Moldova, it was noted that it had been immature since it was put in place in 2004. The 2008 M&E system assessment identified problems and addressed them in a holistic manner where a participatory process was used, applying a standardized tool. The methods of assessment used were, desk reviews and broad discussions with recommendations made after broad consultations. The participatory assessment methodology used included a stakeholder's workshop with 7 distinct groups of stakeholders. This assessment also borrowed heavily from the comprehensive tool based on the Organizational Framework for functional M&E system by UNAIDS. The key areas of weaknesses which needed attention for improvement revealed by the report were, human resources, partnerships, data collection and utilization and data quality assurance.

The recommendations made for the system improvement by the assessment experts were: overhaul standardization of all aspects of the system; putting in place clearly stated deliverables; and identifying implementing partners.

USAID/Kenya (2010) reviewed and documented assessment of the National M&E status and the National Health Management Information System (HMIS). The assessment identified the key areas for improvement. The assessment also revealed the fact that the health sector lacked a detailed M&E framework, although some M&E strategies for various programs were in place. The assessment group recommended the establishment of an initiative involving all the stakeholders to prepare and implement a sector-wide M&E framework to manage all the

activities. The assessment team reviewed documents, visited sites and interviewed over 100 staff members. As a result they identified various strengths to be maintained and weaknesses to be corrected in the existing M&E and HMIS as well as the challenges faced by the two systems.

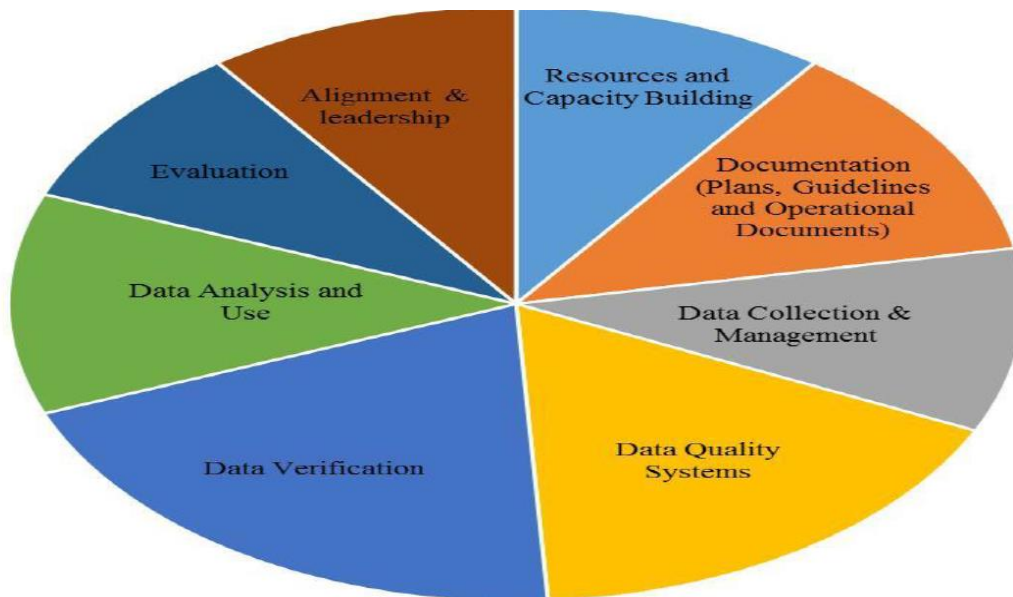
2.5 Summary of Literature Review.

It was noticed from the literature reviewed that it was indistinct that most of the M&E systems consisted of the twelve components that were interrelated and which are interrelated and which were divided in to three categories as developed by Albio & Nzima, (2006) and adopted by UNAIDS, (2008). This was an evolution from how M&E work used to be conducted from early 1970s where focus was mainly on inputs and outputs with little focus on results. The focus is slowly tilting to eight components namely: Resources and capacity building, documentation (Plans, guidelines and operational documents), data collection and management, data quality systems, data verification, data analysis and use, evaluation and alignment and leadership as presented by FHI 360 (2013). Therefore, the study focused on those domains to establish the weaknesses and strengths, the contribution of monitoring and evaluation system to the improvement of programs/projects and the recommendation to the monitoring and evaluation practice of Embu water and Sanitation Company.

2.6 Conceptualization of the Assessment.

The conceptualization of this assessment was informed by the 8 domains recommended by the participatory monitoring and evaluation assessment tool by FHI 360 (2013). As cited, this framework was informed by the organizing framework of the twelve components by UNAIDS, (2008) of functional M&E systems. Figure 2.2 below shows the conceptual framework.

Figure 2.2 The conceptual framework.



Source: Family health international (FHI 360, 2013)

The FHI 360 (2013) due to the program level use, condenses the twelve components to eight domains which are applicable at the program level, Resources and capacity building, documentation (Plans, guidelines and operational documents), data collection and management, data quality systems, data verification, data analysis and use, evaluation and alignment and leadership. It is against the above framework that FHI 360 (2013) provides a generic tool developed as a diagnostic exercise for programs and projects to critically examine their M&E systems, identify areas performing well, critical gaps and develop a quality improvement plan to maintain the strengths and overcome weaknesses in their M&E systems.

Furthermore, regular application of the tool provides an idea about level of positive changes within the process going forward progressively. It would again be utilized like guidance for the project design and implementation in ensuring that the lowest level of expectations for an operational M&E system are achieved. (FHI 360, 2013). The tool could be used in trainings, guidance, identification of needs and capacity building activities. It was however recommended that the document to be utilized before end of the initial year of the project start-up and annually

or biannually during the entire cycle of the project to regularly check the functionality of the system. (FHI 360, 2013).

2.7 Operationalization of the Assessment

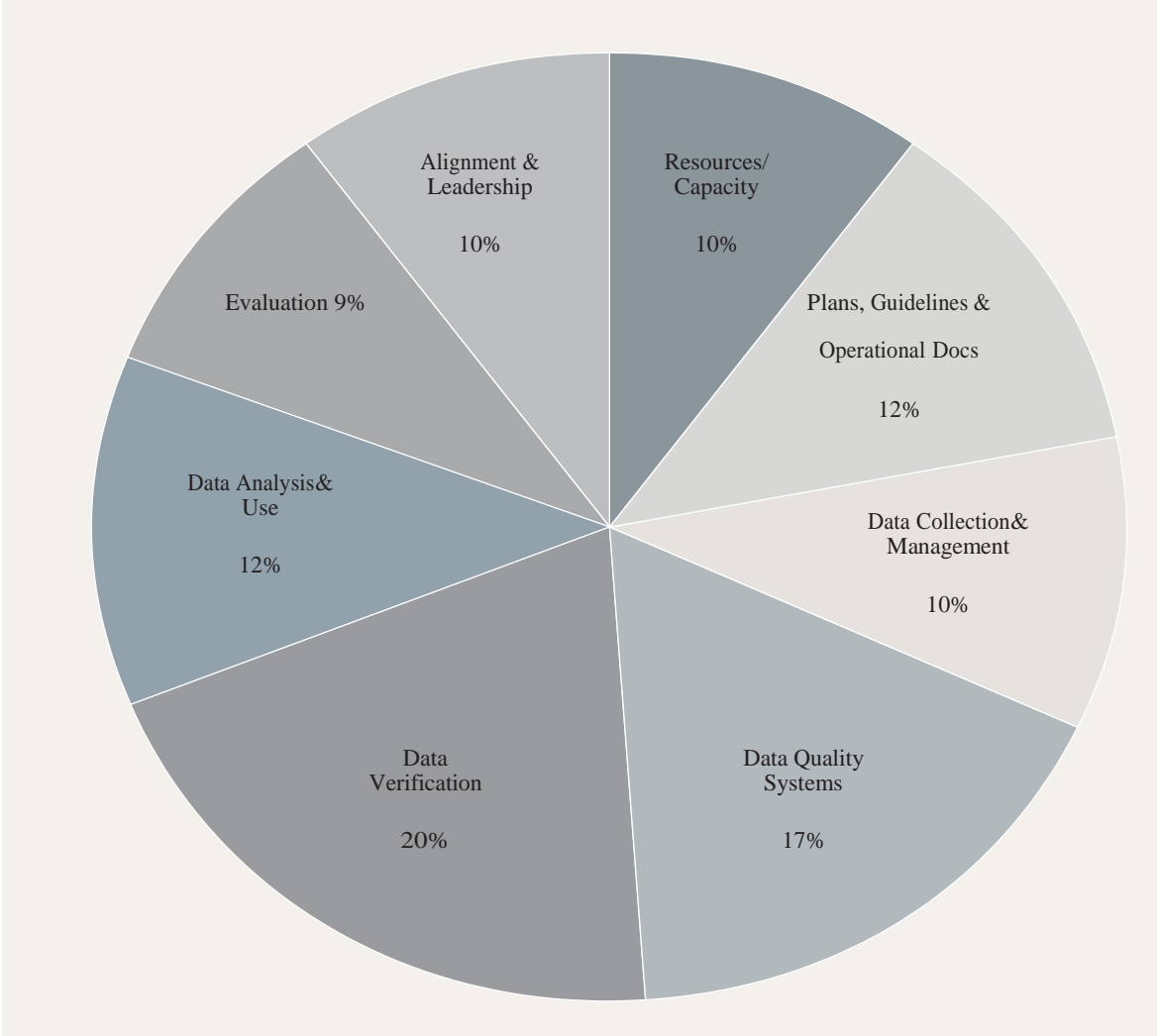
The fully functional monitoring and evaluation system is the one which all the eight components meet the all set criteria. According to FHI 360 (2013), the components namely: Resources and capacity building, documentation (Plans, guidelines and operational documents), data collection and management, data quality systems, data verification, data analysis and use, evaluation and alignment and leadership. Overall weighting was determined by the number of questions/filters within each of the 8 domains. The weights of 6 out of the 8 domains were fairly evenly distributed (comprising 9 – 12 percent of the overall score); However, data verification 20 percent and data quality systems 17 percent together contribute 37 percent to the overall score, reflecting the increased importance currently given to data quality among national, regional, and global stakeholders. The relative weights of each domain may be modified to reflect changing needs and/or priorities by either (1) increasing or decreasing the total number of questions and filters in each domain or (2) including subjective weights for each domain. The exception to this is the data verification domain, which has a higher scoring pattern for each standard to emphasize the importance of data quality. Scores for each of the 8 domains are generated, together with an overall score. Following the assessment, recommendations are generated and a participatory prioritization exercise occurs. The priority recommendations then form the basis for a quality improvement plan.

According to Wamalwa, (2016), The Operationalization of this assessment was informed by FHI 360 (2013) 8 components as the framework and apply Participatory Monitoring and Evaluation System Assessment. The importance of FHI 360 is recognized when the expected outcome from the systems are achieved especially, high quality data, necessary human and financial resources, infrastructure, equipment and supplies and capacity of the underlying system in place to support the production, analysis, and use of data. In recognition, the tool was developed to support programs and projects improve the effectiveness of the systems.

According to UNAIDS (2008) and World Bank (2009), components at each level are strongly linked to form a sub-set. As this framework was being developed it was noted that most of the key performance indicators are compatible with most M&E systems in general. Besides, all the categories at the national level are significantly and practically admissible at the program level. The assessment covered component by component with a brief explanation of what key indicators attempts to address.

The study has scored each component as follows by following the reasoning of FHI 360, (2013): Resources and capacity building 10 percent, documentation (Plans, guidelines and operational documents) 12 percent, data collection and management 10 percent, data quality systems 17 percent, data verification 20 percent, data analysis and use 12 percent, evaluation 9 percent and alignment and leadership 10 percent.

Figure 2.3: Operational Framework



Source. Family health international FHI 360, (2013)

Table 2.1. Operationalization of the Assessment

To complete the checklist, the majority of standards rely on some form of documentation and/or interview with key staff at program and site levels. Scores are allocated for performance of the system against each identified standard on a scale from 0 – 2, where: **N/A** = standard is not applicable, or not available for review purposes; **0** = standard is not met; **1** = standard is partially met; **2** = standard is fully met.

Components	Questions	Operational Indicators (More detailed in the appendix)	Measurement scale (Based on FHI 360 SAT)
Capacity building and Resources	<ul style="list-style-type: none"> - Is the M&E department adequately resourced? - Have staff received sensitization? - Is there dedicated staff for M&E? - Did the team received initial orientation? 	<ul style="list-style-type: none"> - Whether the budget is 5%-10% of the overall budget. -Staff training & mentoring -There are fulltime employees in the section -They received initial training. 	<ul style="list-style-type: none"> 0. Expectation not met 1. Expectation partially met 2. Expectation fully met
Good documentation	<ul style="list-style-type: none"> -Existence of M&E system documentation adequacy. -Was there an up to date M&E plan? -Existence of a framework linkage to project goals, results and outcome? -Updated implementation guideline for M&E activities. 	<ul style="list-style-type: none"> -Availability of adequate documentation for the M&E System -Updated M&E plan. - Existence of a framework linkage to project goals, results and outcome? -Timeline for implementation of activities. 	<ul style="list-style-type: none"> 0. Expectation not met 1. Expectation partially met 2. Expectation fully met
Data management & collection	<ul style="list-style-type: none"> -Is data collection system well functioning? -does tools includes the important project indicators? -does duplication exist in data collected? -Was there data management guidelines 	<ul style="list-style-type: none"> -Check for a well-functioning Data Collection & Management System -All project indicators were included in the data collection tools. -There was specific data collection requirements for staff. -data management guidelines existed 	<ul style="list-style-type: none"> 0. Expectation not met 1. Expectation partially met 2. Expectation fully met

Data Quality Systems	<ul style="list-style-type: none"> -Are the processes that generate quality data in place? -Was there consistency of definitions with standard guidelines? -did the process had documented guidelines? -Were there systems to adjust double counting? 	<p>Systems that generate clean outputs. The indicator definitions were as required. There was evidence of written guidelines on data collection tools.</p> <p>Systems were in place to check for irregular counts</p>	<ul style="list-style-type: none"> 0. Expectation not met 1. Expectation partially met 2. Expectation fully met
Data Verification	<ul style="list-style-type: none"> -Are the results reported accurate and can be verified? -Were supporting documents accurate for the sampled indicators? 	<ul style="list-style-type: none"> -Check whether results reported are accurate and can be verified -whether supporting documents were accurate for the sampled indicators 	<ul style="list-style-type: none"> 0. Expectation not met 1. Expectation partially met 2. Expectation fully met
Proper data Analysis and Use	<ul style="list-style-type: none"> -Are the data well analysed and used for program management and improvement? -Were data collected reported? -Were there regular analysis that include trends in performance? 	<ul style="list-style-type: none"> -Check whether data are well analyzed and used for program management and improvement -majority of the data collected were reported <p>-Perform system analysis on all required variables.</p>	<ul style="list-style-type: none"> 0. Expectation not met 1. Expectation partially met 2. Expectation fully met
Evaluation	<ul style="list-style-type: none"> -Is there adequate planning? -Are valuation reports adopted and implemented? -The M&E plan had activities outlined? 	<ul style="list-style-type: none"> -Presence of adequate planning, -Implementation and use of evaluation reports -The M&E plan had evaluation activities outlined. - Impact evaluation was planned for the program 	<ul style="list-style-type: none"> 0. Expectation not met 1. Expectation partially met 2. Expectation fully met

Leadership & Alignment	<ul style="list-style-type: none"> -Is the Program M&E aligned with the National M&E system? -Does the Program demonstrate Technical Leadership in M&E? -Were reports submitted to relevant government departments? 	<ul style="list-style-type: none"> -Program M&E aligned with the National M&E system -Program demonstrate Technical Leadership in M&E? -Reports submitted to government departments as required. -Government collection tools aligned with that of the program. 	<ul style="list-style-type: none"> 0. Expectation not met 1. Expectation partially met 2. Expectation fully met
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UNAIDS (2008) asserts that M&E systems provide programs with integral Management tools since they provide the programme management teams, funders, decision makers and other stakeholders with the opportunity to collect and analyze information on interventions and make decisions that can ultimately produce optimal (or better) results. The assessment plays a very important role to the EWASCO M&E system in terms of identifying its strengths and weaknesses. FHI 360 (2013); World Bank and UNAIDS (2009) and Global Fund et al. (2006) emphasize the periodical assessment of the organization’s M&E system conditions so as to establish how the system is working (or not) and identify areas of improvement.

CHAPTER THREE

METHODOLOGY

3.1 Introduction

EWASCO M&E system assessment methods are provided in this chapter. Specifically, it covers data sources, design used, targeted study sites and population, sampling procedures, data collection methods and tools, variables operationalization, analysis methods and ethical considerations.

3.2 Research Design

This study applied a case study design. Case studies involve data collection from several sources. It is a useful method of research since it provides an in-depth description of information according to (Kidder, 1982), can be utilized to develop a theory according to (Gersick, 1988), or used to test a theory (Pinfield, 1986). Also, it focuses on full contextual analysis of fewer components based on qualitative data (Cooper and Schindler, 2008). It incorporates detailed description as well as in-depth study of a single entity phenomenon or situation (KIM management training, 2010)

Descriptive research was used to obtain information concerning the current status of a phenomenon and to describe what exists with respect to conditions in a condition Nath, (2007, Shamoo & Rensik, 2003). Descriptive research design primary describes what is going on or what exists LZ, (2006). Descriptive research design was used since it enabled the description of Embu Water and Sanitation Company Monitoring and Evaluation system through a case study.

The study had operationalized the variables and scored each component as follows by borrowing the reasoning of FHI 360, (2013): The study has scored each component as follows by following the reasoning of FHI 360, (2013): Resources and capacity building 10 percent, documentation (Plans, guidelines and operational documents) 12 percent, data collection and management 10 percent, data quality systems 17 percent, data verification 20 percent, data analysis and use 12 percent, evaluation 9 percent and alignment and leadership 10 percent.

Operationalization's of the variables were measured from each questions drawn from each domain FHI 360, (2013). For instance, the alignment and leadership was scored 10 percent

which means that for it to have a total of ten percent then ten questions were drawn. These questions were: . Timely submission of reports; Proper alignment of data collection tools; Alignment of activities to national standards; Dissemination of results at a national forum; Dissemination of results in a stakeholder forum; Sharing of components in various forums; Publication of elements in reviewed journals; Existing and functional M&E system; Existing and functional M&E manual; M&E project team participating in technical working group

3.3 Sources of Data

The assessment utilized Primary data collected from M&E technical team (6 staff), program managers (3 staff), field coordinators (7 staff) and trainers (4 staff) and secondary data collected from M&E reports, Project reports, Embu Water and Sanitation Company strategic plan, M&E plan including the data use plan, internal reports and past M&E literature.

3.4 Study Site and Target Population.

The study was conducted at the EWASCO headquarters in Embu County because of the availability of data as well as presence of the key informants. The unit of analysis was individuals. Purposive sampling was used to select the staff to be interviewed. Projects department preferred since it housed the M&E unit and was directly involved in the Embu Water and Sanitation Company's M&E exercises for more than ten years, and had been enjoying support from development partners. It had been supported by GIZ and WSTF, received tools required for implementation and using the 2014 revised reporting tools. Performance indicators or elements to focus on during data collection were also sampled purposively depending on the specific objectives of the assessment.

3.5 Sampling Procedures

FHI 360 (2013) recommends that the assessment sites be sampled purposively on the basis of high volume data and priority. Purposive sampling was used to select EWASCO Monitoring and Evaluation department, based on the fact that M&E department is directly involved in the EWASCO's M&E exercises for more than ten years, and has been enjoying support from development partners. It has been supported by JICA and MOEST, received tools required for implementation and using the 2014 revised reporting tools. Performance indicators or elements to focus on during data collection were also sampled purposively depending on the specific

objectives of the assessment. This sampling method is selected on the basis that the twenty respondents were directly mandated to handle M&E duties and conformed to the required stipulated criteria for key informants to answer research questions. This sampling method is normally deployed if the sample population is small and when the main objective is to choose cases that are informative to the research topic selected.

Purposive sampling was used to select respondents from the programme implementation team which included: M&E technical team (6 staff), program managers (3 staff), field coordinators (7 staff) and trainers (4 staff).

The assessment focused on the EWASCO headquarter offices in Embu where a meeting was held for introduction and the respondents were briefed about the purpose of the assessment before the data collection exercise. Since the organization had a very busy schedule conducting conferences and trainings, the interviews took 5 days as only 4 respondents could be reached per day. The Head of Monitoring and Evaluation coordinated the interviewing and document review processes. She ensured that the respondents were available for interviews at the right time and place and the required documents timely availed. The questionnaires were administered by the researcher for the 5 days of data collection period. However, there was no data collected from the field.

3.6 Data Collection Methods and Tools.

Study used document review with interviews as the main methods of data collection. These methods are described below.

3.6.1 Documents Review.

Documents/ records review process was employed to review the M&E framework, Minutes from meetings and workshops, Annual reports, M&E plans. A document review guide was used. These guided the study and confirmed whether the M&E information was used to inform implementation of the Embu Water and Sanitation Company strategic plan 2017-2022.

3.6.2 Discussion with Key Informants.

A key informant interview was conducted as a source of primary data to the target population with M&E technical team (6 staff), program managers (3 staff), field coordinators (7 staff) and trainers (4 staff).

Discussions were held with key informants such as M&E Committee members and Research and Development manager. A discussion guide with guiding questions was used to guide the discussions. A questionnaire was also used to collect data from the informants. Information from the key informants was used to score each of the twelve components.

3.7 Operationalization of Variables.

To operationalize the variables of the M&E system, FHI 360 (2013) was adopted. A quiz was awarded 2 points to signify achieved operational levels, one point partially meet the standard while that with zero does not meet the standard. FHI 360 (2013).

A fully functional monitoring and evaluation system is one which all the 8 components met all the set criteria. According to FHI 360 (2013), the distribution of scores totaling to 100 is as follows; Alignment and leadership (10%), Resources/capacity (10%), operational documentation (12%), Information management and collection (10%), quality systems variable (17%), verification variable (20%), Data analysis and use variable (12%), Evaluation variable (9%). Based on these scales an average scoring for each of the indicators was calculated, similarly the overall mean score for each of the component was calculated to determine performance for each of the components and overall performance of the M&E system was shown by an average score calculated for all components. (Wamalwa, 2016)

3.8 Data Analysis

Data analysis was done using excel analytical tool and results presented using percentages and tables. Qualitative data were analyzed using thematic analysis.

3.9 Ethical considerations of study.

Ethical consideration is critical in ensuring credibility of and confidence in the study results. For this reason, ethical protocols and principles highlighted by Belmont (1979) was used. Considerations was employed to ensure that respondents are provided with chance to make

choices to participate or decline participating in the study; explanations to understanding the purpose of the study, likely risks and assumptions associated with the study; a clear understanding of the fact that no individual impact of the study was possible; knowledge that they would be free to pull out from the study at their own will; the knowledge that they would be free to decline to answer any questions they are uncomfortable with; and the reassurance that their responses would be strictly confidential.

CHAPTER 4

STATUS OF EWASCO MONITORING AND EVALUATION SYSTEM

4.1 Introduction

This chapter provides a discussion and presentation of the results. It starts by providing the status of the system with the aid of Participatory Assessment Tool by FHI 360 (2013). The strengths and challenges of the M&E system of EWASCO are also integrated and discussed. The chapter ends with the presentations and discussions on how the products of the M&E system of EWASCO have been used to improve the INSET programme. The respondents of the interviews and discussion were with the following employees of EWASCO, M&E technical team (6 staff), program managers (3 staff), field coordinators (7 staff) and trainers (4 staff).

4.2 Description of the study

The description of study subjects are presented below. During the assessment, a total of sixteen respondents out of the targeted twenty respondents were engaged for a discussion. This was 80 percent response rate. However, 67 percent of the technical officers and project managers were interviewed while 86 percent of the project coordinators were interviewed. All the trainers in the program were interviewed.

Table 4.1 Respondents by designation.

Section	Number	Responses
Technical Officers	6	4
Program Managers	3	2
Project Coordinators	7	6
Trainers	4	4

4.3 Functionality of EWASCO M&E System

The assessment focused on eight M&E components according to FHI 360 (2013). The results based on the categories are presented below

Table 4.2 Summary Assessment score

(Based on FHI 360 (2013) maximum score guide)

The results on the table below was derived from calculating the total responses in every individual component divided by the total expected responses and multiplied by one hundred to get percentage of actual score.

Cat.	Component	Actual Score	Maximum Score	Achieved Score (%)
1	Resource and Capacity Building	70	10	7
2	Documentation	69	12	6
3	Data Collection and Management	77	10	8
4	Data Quality Systems	91	17	5
5	Data Verification	77	20	4
6	Data Analysis and Use	78	12	6
7	Evaluation	66	9	7
8	Alignment and Leadership	80	10	8
	Average Score	76%	100	52%

The Average score for the assessment was 76%. Data quality systems 91%, evaluation 67%. Resource and Capacity Building 70%, Documentation 69%, Data Verification 77%, Data collection and management 77%, Alignment and Leadership scoring 80% and Data analysis and use at 78%.

The domain of data analysis was measured using a variable; the manner in which data was analyzed and the use of data for management and improvement of program. These derived questions to answer the variable and then analysis conducted represent the domain of 78%. This shows that the domain is fairly functioning according to FHI 360 (2013).

The domain of data verification was measured using a variable; accuracy of results and whether the reported data can be verified. This derived questions to answer the variable and then, analysis conducted represented the domain at 77 percent. This indicated that the domain was partially functioning according to (FHI 360, 2013).

The domain of evaluation was measured using a variable; adequacy in planning, implementation and use of evaluation. This derived questions to answer the variable and then, analysis conducted represented the domain at 67 percent. This indicated that the domain was partially functioning according to (FHI 360, 2013).

The domain of data quality was measured using a variable; adequate processes and system to generate quality data. This derived questions to answer the variable and then, analysis conducted represented the domain at 91 percent. This indicated that the domain was partially functioning according to (FHI 360, 2013).

The domain of alignment and leadership was measured using a variable; adequate processes and system to generate quality data. This derived questions to answer the variable and then, analysis conducted represented the domain at 80 percent. This indicated that the domain was partially functioning according to (FHI 360, 2013).

The domain of documentation (Plans, guidelines and operational documents) was measured using a variable; adequate processes and system to generate quality data. This derived questions to answer the variable and then, analysis conducted represented the domain at 69 percent. This indicated that the domain was partially functioning according to (FHI 360, 2013).

The domain of resources and capacity building was measured using a variable; adequate processes and system to generate quality data. This derived questions to answer the variable and then, analysis conducted represented the domain at 70 percent. This indicated that the domain was not functioning according to (FHI 360, 2013).

The domain of data collection and management was measured using a variable; adequate

processes and system to generate quality data. This derived questions to answer the variable and then, analysis conducted represented the domain at 77 percent. This indicated that the domain was not functioning according to (FHI 360, 2013). In general, this therefore means that Monitoring and Evaluation Systems of EWASCO is functioning according to FHI 360 (2013) and consequently, needs strengthening to fully function.

4.3.1 Strengths and Gaps of EWASCO M&E System

The study sought to identify the gaps and equally, the strengths of EWASCO Monitoring and Evaluation System. Objectively, this was performed in line with the 8 domains that the study focused on when it was conducting the assessment. Critically focusing on gaps and strengths of each of the 8 domains helped in the identification of strengths that in turn, the organization can therefore, constantly capitalize on for the programme/ project improvement.

4.3.2 Resource and capacity building

The table above, indicates that out of the target of 10 points, in an average, the component scored or was rated at 7, representing 70 percent. This indicates that the Resources and capacity building as one of the M&E domains is functioning. The EWASCO domain of resources and capacity building is fairly functioning and therefore needs further strengthening for the programs to achieve the desired goal for the program. It should be therefore noted that the overall M&E budget as a component of resource, is below the international standards of 10 to 15 percent UNAIDS (2009) and therefore there should be a need to increase the budget. The M&E staff are understaffed/ the number of M&E team staff is not sufficient in relation to the programme size. This hampers the programs efficient operations. The company should therefore, increase the number of M&E team staff for sufficiency purposes in relation to the programme size. The few M&E team who were present have appropriate skills mix (e.g. data analysis, evaluation/ research) However, there was need to continuously strengthen the capacity of the team in the areas of evaluation and research.

The M&E team members had not received comprehensive initial orientation on the organization's M&E system such as orientation on data collection, collation, analysis, supportive supervision and reporting among other things. This was due to the disjointed nature M&E structures. There was no unique (main) system that was able to feed data from the sub-

system. It was worth to note that there when a staff is joining the organization, they are briefly taken through M&E but not its entire system. There was need of holistic orientation of the staff members on the EWASCO M&E system in order for it to be resourceful to the programme improvement.

It should be observed that members of the M&E team had not been trained at least once in the last two years. The team learned from each other and have not had an opportunity to be trained on emerging M&E issues and thus rendering the M&E staff members to be not much resourceful and consequently not contribute much to the programs improvement. The company should put in place at least 2 training sessions for M&E staff in a year.

Supervision of the M&E team/mentoring was usually done by the usually done by the Monitoring and Evaluation Manager and the Project Manager through review of reports, beneficiary statistics among others. On the other hand, the M&E team conducts supportive supervision to different projects through research studies and the data verification, mentor field teams in data collection, data analysis and data use. EWASCO should have a continuous mentorship and supervision of the M&E team for the improvement of the programs. Trainings and other capacity building initiatives on various components of EWASCO M&E system from partners had not been taking place even on a needs-basis. This is according to the program implemented by the company.

4.3.3 Documentation

Category attained 69% implying it was partially operational. This shows that the domain is fairly functional and needs to be strengthened. However, noted that framework in question was not up to date including standard guidelines describing reporting requirements and supervision procedures. Documents on weekly and monthly meetings were reviewed and the work plan which includes each person's action points. The framework lacked a direct link between inputs, outputs and results. Road map existed in the framework containing all elements of reporting,

4.3.4. Data Collection and Management

Component attained 77% depicting a fare score. Due to GIS and wide coverage network which brought in efficient collation of information. Stored data was inaccessible because of the format

of storage. They were aligned to sections with minimal management support meaning that there were data gaps. They however agreed on their roles and responsibilities.

There was no proper storage of historical data, and they were not up to date and also not readily available. EWASCO Monitoring and Evaluation System must put in place a proper storage of historical data and also an up to date and readily available data. The data collection and management of EWASCO was disaggregated by gender and age. It was observed that there was no management support for a follow up of any persistent data gaps with partners.

4.3.5 Data quality systems

It had a performance at 91% with donor and government reports being submitted on time. Data collection tools collated correctly with efficient reliability and good decision making. Good feedback was achieved in reporting from the operation areas. Reports verified before being submitted. There was monitoring through regular audits on the sites as was the requirement.

The definitions and interpretations of indicators are followed consistently when transferring data from front-line instruments to summary formats and reports. Specifically, this is the case for reports that are drawn from the data collection, and entry of such.

It was also observed that the feedback was provided to all service points on the quality of their reporting. This improves the data quality systems and consequently improves the operations of the programs with the regards of quality information for managerial decision making. EWASCO should let the M&E staff understand that they should not have a feeling that data quality is a compliance of a policy to providing feedback to ensuring data quality, but they should inculcate the culture of data quality in them. EWASCO M&E System do not have evidence that corrections have been made to historical data as a follow up of data quality. There was a good observation though, that there was evidence that field-level supervisors review data from field workers (research assistants) before it was finalized and passed on. This thus ensures data quality and therefore improves programming.

4.3.6 Data Analysis and use

It attained 78%. It meant that a work was being done well and output used to inform policy and practice. The analyzed data were mostly used to make decisions. The data collected informed the

opening of new sites to increase service delivery. There was information to show that there were procedures that ensured an ongoing review of M&E framework.

M&E staff and the general staff use the data analyzed to inform decisions of the programs. This was supported by a majority who indicated that data collected was reported, client-level information was entered into a database then it was analyzed and interpreted for use by managers. There were written procedures to ensure regular (at least quarterly) review of M&E data by programme/project managers, M&E staff, other technical staff and partners, at least one data review and interpretation meeting has taken place in the last quarter involving managers and programme/technical staff, and there was evidence that data analysis had led to improvements in programme design or implementation.

4.3.7 Data verification

This category was to find out whether supporting documents were accurate for the sampled indicators. It scored 77 percent indicating that the domain was functional. All the sites provided regular data collected which showed that it had increased compared to the previous. The number of sites providing reports on a daily, weekly and monthly basis was 5% of overall reports.

4.3.8 Evaluation

The study was to confirm that there were evaluation activities outlined within the framework and conducted as described. The category had 66 percent affirmative response rate indicating that the functionality was performing up to the required standard. All the evaluation activities are explicitly outlined in the M&E Framework. Outcome evaluations are conducted, with the recent one being the Outcome Mapping AGIK project. For projects whose life span is 3 years or more, mid-term evaluations are planned and executed. However, this is usually donor-driven and dependent on availability of resources. Where the respective donor does not avail resources, then a mid-term evaluation is not conducted. However, for all projects, baseline data is usually available within the first year of project inception. It is important to note that all the past evaluation reports are available.

4.3.9 Alignment and leadership

Alignment and leadership were rated 80 percent meaning it was functional. Regular supervisions were being done to ensure they are aligned to the required standards. Reports being submitted to

government departments. Under this component, the observation was that, there is existing and functional M&E International System, there is existing and functional International M&E Manual, data collection tools aligned to International M&E tools, project team participating in donor M&E Technical Working Group (TWG) or other fora. On the other hand, it was noted that project presented did not have components of its M&E System at International conferences or other meetings in the last 2 years.

CHAPTER FIVE

SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1. Introduction

This chapter highlights findings, conclusion and recommendations of the study.

5.2 Summary of Findings

The assessment employed cross sectional research design which allowed for description of the current conditions of the system and helping to establish strengths and gaps which were fundamental to the realization of research objectives. Data collection was through documents review, interviews and discussions. Eventually, data was quantitatively analyzed in order to produce the results. The main objective focused on determining the functionality of Embu Water and Sanitation Company M&E system, second was checking the effectiveness of the M&E system, finally determine whether the M&E information is used to inform policy and practice.

The key strengths of the system were inventory of research studies, guidance on research methods, conferences for information dissemination, standardized data collection tools used, presence of M&E databases to track progress, continuous data analysis and use of evaluation results to improve program. The key gaps include insufficient budget allocation of 4% which was not adequate to fund program activities. The skills for staffs had not been assessed and no training had been conducted to enhance the required skills. There was inadequate staffing in the M&E section.

Supervisors participated in development of M&E framework; supervision and audit results made available, Audits not up to date, changed procedures not up dated. Though generally, there was good feedback systems, increased quality of information. There management support systems were insufficient. It was established that previous findings had resulted in some programs improvements.

5.3 Conclusion

EWASCO M&E system's functionality was fairly good in assessment 52%. However, there was significance in positive changes touching on the elements under review. The areas that are operational were identified as resource & capacity building, Data analysis & use, data management & collection, quality systems, verification, alignment and leadership. The other areas that needed attention included; Documentation, evaluation. The areas that supports EWASCO M&E system included: procedures, collaborations and stakeholder support. Inefficiencies included: budgetary, workforce, inappropriate skill mix, documentation of procedures, improper evaluation.

It is important to note that this research has been successful in achieving its three specific objectives namely: determined the system of EWASCO is 52% compliant to the internationally and locally established M&E systems standards as indicated in the UNAIDS (2008) assessment report having the 12 components, determine how the components are used to improve the program results and challenges facing the system and integration of solutions for system improvement.

5.4 Recommendations

Based on the above conclusions, recommendations were made on each of the components that were assessed. They can therefore be used by EWASCO to improve its M&E system where appropriate.

5.4.1 Capacity building and Resources

There was need to add on staff depending on to the program size. Knowledge dissemination is key to increase competence and ability to execute system functions. Furthermore, exposure to workshops, trainings and emerging M&E issues.

There was need to allocate more finances to the activities in relation to the organization's strategic plan.

5.4.2 Documentation

The organization should have a proper documentation for the system to improve its efficiency and use. There was need to improvise a better archiving plan. It would in a big way improve accessibility when there is need of source documents. procedures should be updated for

relevance and clearly documented in the plans through updating the framework and aligning to strategic plans. Framework reviewed showed the relationships between different stakeholders.

5.4.3 Collection and management

This indicator was poorly implemented, the organization should have limited access to promote security of data and future access. No important support from management was received in decisions to be in line with reports findings. It is therefore important for management to provide the necessary support where there is need.

5.4.4 Data quality systems

Donor reports were submitted on time. Consistent follow-up of definitions on data transfer to summary formats and reports. Tools filled with completeness and correctness, with good feedback systems. indicators measurable to ensure quality of data from collection to analysis. This should not be perceived as satisfying the need of a policy in providing feedback and ensuring quality but inculcated in the staff as a culture. Feedback on quality reporting should be provided in every point that service is provided to improve the system and eventually the operations of the programs.

5.4.5 Data analysis and use

EWASCO should start and build capacity for the information management team and subsequently share M&E information via publication in a journal. There was need for standardization of reporting format and data tabulation to target specific audiences. Accessibility of information was noted to be key to stakeholders, reliability and usability, feedback system for improvement and correction of errors. Apply the data for informed decisions. It should be enhanced to beyond the program level to the organization level on the use of data to inform decision making. There was no record for stakeholder information needs assessment to determine the nature of information needed for policy and practice.

5.4.6 Data verification

It should be regularly done to minimize misinformation from the reports and eventually misadvise in decision making. Building capacity for the teams to conduct good verification should be done to enhance the culture of regular data audit in the organization and reports corrected before sharing with stakeholders and donors.

5.4.7 Evaluation

There was clear outlining of the activities EWASCO plan, while findings from recent reports implemented for program streamlining and eventual objectives. Mechanism made in the reports and recommendations be included and be used for evaluation reports. The organization should prepare enough budget for the mid-term and end-term evaluations with the aim of improving the efficiency of the programs. Give a clear mode of following up on the project recommendations. Work on including communities during evaluations to create a broad observation on the project overall impact. Dissemination of results should be done to the beneficiary community since they will be directly affected by interventions that will be introduced according to the study outcomes hence the importance of careful considerations.

5.4.8 Alignment and leadership

The organization should invest more on ensuring that the outcome of evaluation is aligned to the leadership and those of other partners. The alignment could be done through generated abstracts, progress power point presentations, publication in peer reviewed journals hence also enhance knowledge sharing. A well-organized plan for guiding and managing activities, engaging knowledgeable workforce. prepare a plan with defined roles and procedures with regular analysis for program improvement. Use of data from site offices be encouraged for policy and better decisions. improvements needed for EWASCO system to be fully operational.

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APPENDICES

ANNEXE: INFORMATION COLLECTION GUIDE

ANNEX 1: REVIEW SCHEDULE

Introduction

Procedure to help the researcher review the M&E system through study of the available materials including M&E documents and implementation plans. They will be scored using the following; fully operational, partially operational and in-operational.

a. Resource and capacity building

1. Confirm whether allocation was to the required budgetary standard.
2. Confirm whether fulltime employees exist the division.
3. Confirm whether the number of staffs is adequate for the program.
4. Confirm whether the staff has an appropriate knowledge
5. Confirm whether the staff were initially sensitized.
6. Confirm whether stakeholders were trained.
7. Confirm whether there was a plan for staff briefing.
9. Confirm whether the staff visited partners for bench-marking at least once in 6 months.

b. Documentation

1. Confirm the existence of updated implementation strategy.
2. Confirm whether supervision procedures were documented in writing.
3. Confirm whether objectives were set for key indicators.
4. Confirm whether the plan has graphic framework linked to M&E processes
5. Confirm the completeness of PMP matrix.
6. Confirm the existence of action points for the division.
7. Confirm the existence of a standard reporting.
8. Confirm the existence of a data flow chart in PMP
9. Confirm the existence of a well-maintained confidentiality protocol

c. Data collection and management

1. Confirm availability of materials which meets the acceptable standards.
2. Confirm the completeness of data collection tools.
3. Confirm the existence of minimal or no duplication in data collection tools.

4. Confirm whether data management guidelines exist.
5. Confirm whether previous data is secured and updated.
6. Confirm whether there is an up to date electronic database.
7. Confirm whether data service was disaggregated by gender and age.
8. Confirm the sufficiency of data collection tools.

d. Data quality systems

Check.

1. If there is consistency of functional indicators with guidelines.
2. If there exist guidelines on data collection.
3. If errors can be easily checked.
4. If missing data can be easily rectified.
5. If there is completeness in data tools.
6. If there is correctness in data tools.
7. If all reports from stakeholders were received
8. If there is timely reports submission.

e. Data verification

Confirm that there is relevance in documentation and accuracy through recounting and confirmation from data sources.

A factor calculated by having reported divided by recounted data. More than 100 percent output means accuracy, 5 percent margin error considered as accurate margin.

f. Data analysis and use

1. Accurate analysis of information stored.
2. If there are reasons of deviation of targets.
3. Existence of regular reviews with formal procedures and guides
4. Confirm existence of stakeholder meetings on data review and interpretation.
5. Confirm regular information analysis.
6. Confirm if there is evidence of impact on analyzed information on the target population
7. Stakeholders received an analysis reports on the program.

g. Evaluation

1. Process assessment was organized during life of the program.

2. Information collected in the first two years of the program.
3. Existence of previous reports.
4. Previous findings with positive impact on program.
5. Existence of data reporting protocols.
6. Proper data storage and security
7. Proof of dissemination to stakeholders.
8. Existence of good environment for regular feedback.

h. Alignment and leadership

1. Timely submission of reports.
2. Proper alignment of data collection tools.
3. Alignment of activities to national standards.
4. Dissemination of results at a national forum.
5. Dissemination of results in a stakeholder forum.
6. Sharing of components in various forums
7. Publication of elements in reviewed journals.
8. Existing and functional M&E system
9. Existing and functional M&E manual
10. M&E project team participating in technical working group

ANNEX: 2 DISCUSSION GUIDE

Introduction

Am Ezra Tonui studying the functionality of Embu Water and Sanitation Company which is in relation to study for Master of Arts in M&E from the University of Nairobi. I therefore request for a few minutes of your time to engage on the Embu Water and Sanitation Company monitoring system and promise you that the information provided will not be used anywhere. You are free to respond or not and discontinue the discussion.

a) Resource and capacity building

1. The budget was within the required standard.
2. Presence of a fulltime employee in the division.
3. The staffs were sufficient to manage the program.
4. The staff had technical knowledge needed.

5. The team had gone through initial training.
6. They had received mentorship from their supervisors.
8. M&E team had visited partners for mentorship.

b) Documentation

1. There is an updated framework.
2. Stakeholders were well informed on guidelines.
3. There was formalized supervision procedures.
4. There exist a complete framework.
5. The work plan indicates persons with each a responsibility.
7. confidentiality protocol was available.

c) Data collection and management.

1. The tools contained all indicators.
2. Good data storage.
3. Updated e-database.
4. Disaggregated data service by gender and age.
5. Sufficient data collection tools for program needs.
6. Capacity for the program database for ease of modification.
7. Ready follow up on data gaps.

d) Data quality systems

1. There is consistency in indicator definitions.
2. Clear procedures of data collection.
3. Double counting data systems.
4. Missing data detecting system.
5. Consistent use of standard tools between partners.
6. Data collection tools filled in completely.
7. Data collection tools filled in correctly.
8. partner reports received.
9. Timely reports submission.
10. Consistency of data reporting to donor requirements.
11. Good feedback environment.

12. Evidence of corrections made to historical data where there is need.

13. All centers reporting to required indicators.

e) Data verification

Relevant reports were accurate for 5 indicators. This was done by auditing the source documents and comparing with the reports.

A factor was calculated by dividing reported data with the recounted data. However, a 5 percent margin error is allowed and considered an accurate margin.

f) Data analysis and use

1. Completeness in reporting.
2. All information captured for analysis.
3. Reasons of variation on performance.
4. Procedures available for timely assessments.
5. Data review & interpretation meeting took place.
6. analysis on trends in performance indicators over time.
7. Data analysis leading to program improvements.

g) Evaluation

1. System evaluation was done.
2. Baseline data available.
3. Previous reports available.
4. Previous findings available.
5. The designs were adequately captured.
6. The protocols were adhered to.
7. Evaluation results disseminated.
8. Mechanism for obtaining periodic feedback available.

h) Alignment and leadership

1. Timely submission of reports.
2. Data collection tools aligned as required.
3. Proper supervision of activities done.
4. Dissemination done at stakeholder's forum.
5. Components disseminated in national forums.

6. Components disseminated in international forums.

7. Elements published in review journals.