

**AN ASSESSMENT OF THE IMPLEMENTATION OF RESULTS BASED MANAGEMENT
APPROACH IN THE PUBLIC SECTOR: A CASE STUDY OF THE NATIONAL
TREASURY, DEPARTMENT OF GOVERNMENT INVESTMENT AND PUBLIC
ENTERPRISES (GIPE)**

BY

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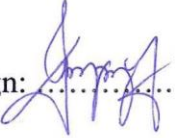
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DECLARATION

Declaration by the student

This research project is my original work and has not been presented to any other examination body.

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Declaration by the Supervisors

This research project has been submitted for examination with my approval as University Supervisor.

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DEDICATION

I dedicate this work to my God for all His mercies, providence and love.

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LIST OF ABBREVIATIONS/ACRONYMS

ADB	Asian Development Bank
ADPs	Annual Development Plans
APCoP	Asia-Pacific Community of Practice
CARE	Cooperative for Assistance and Relief Everywhere
CIDA	Canadian International Development Agency
CIDPs	County Integrated Development Plans
CIMES	County Integrated Monitoring & Evaluation System
DAC	Development Assistance Committee
e-ProMIS	electronic Project Monitoring Information System
ERS	Economic Recovery Strategy
GIMIS	Government Investment Management Information System
GIPE	Government Investment and Public Enterprises
ICTs	Information and Communication Technologies
IDP	Integrated Development Planning
IFMIS	Integrated Financial Management Information System
IFRC	International Federation of Red Cross
IRBM	Integrated Results-Based Management
ISO	International Organization for Standardization
LFA	Logical Framework Approach
M&E	Monitoring and Evaluation
MDAs	Ministries, Departments and Agencies
MDGs	Millennium Development Goals
MIS	Management Information System
MTEF	Medium-Term Expenditure Framework
MTPs	Medium-Term Plans
NACOSTI	National Commission for Science, Technology and Innovation
NIMES	National Integrated Monitoring and Evaluation System
NPM	New Public Management
OECD	Organization for Economic Cooperation and Development
PAC	Parliamentary Accounts Committee
PAS	Performance Appraisal System
PC	Performance Contracting
PEAP	Poverty Eradication Action Plan
PFM	Public Finance Management
PIM	Public Investment Management

PIMIS	Public Investment Management Information System
PPS	Personnel Performance System
RBB	Results Based Budgeting
RBM	Results Based Management
RBM&E	Results Based Monitoring and Evaluation
RBMG	Results Based Management Group
SC	State Corporations
SDGs	Sustainable Development Goals
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
TNT	The National Treasury
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
USAID	United States Agency for International Development
VDS	Vision Delivery Secretariat

ABSTRACT

Results based management (RBM) approach has evolved over time as a management strategy into the public sector due to donor demand and pressure from taxpayers throughout the world. Use of the strategy in public and private sector had risen to prominence globally. This had increased attention among researchers worldwide who had acknowledged its significance to assess implementation of RBM strategy against set standards in improving efficiency, effectiveness, transparency and accountability of a system.

The Government of Kenya adopted the RBM method in 2004 and developed brilliant economic development policy papers and programmes to enhance livelihoods through the accomplishment of viable development outcomes.

The aim of the study was to measure the degree to which RBM practices were executed at The National Treasury, Department of Government Investment and Public Enterprises in Nairobi. The study was guided by three research objectives: to establish the implementation of the core results attributes of RBM; to establish the implementation of the interdependency among RBM components; and to determine the implementation of horizontal and vertical integration of RBM across sector ministries and all levels of government.

The study adopted quantitative research design and a questionnaire was used as the research instrument. The target population was drawn from the GIPE department. The 38 respondents targeted as key informants were drawn from planning, budgeting, implementing, monitoring, evaluation and reporting at GIPE. From a sample of 38 selected, 30 responded giving a response rate of 79%.

The study findings revealed that the planning component of RBM had the highest score average of 81.3% closely followed by the budgeting component with a score of 79%; implementation component scored the lowest at 72.4%. The strongest results-based components in this study were planning, budgeting and evaluation, while monitoring and implementation components were moderate. Although displaying important results-oriented aspects and qualities all round, the existing system indicated a weakness in its implementation stage.

Findings for the interdependency component showed planning-budgeting as the strongest interdependency among components with the highest average score of 84.4%, followed by the implementation-monitoring at 75.7%. The monitoring-evaluation linkage was third with a score of 75.4%. Budgeting-implementation link was fourth with a component score of 74% and the evaluation-planning had the least score of 71.7% being the weakest link amongst the other links. Budgeting-implementation and the evaluation-planning links were moderate with limited feedback to planning, where its results were hardly utilized in budgeting, planning and policy making.

From the horizontal and vertical integration findings, the vertical integration component had an average score of 84%, while the horizontal integration component had a score of 83.4% both integrations scoring above 75% implied the attributes were strong - indicating that the national developmental goals were being cascaded to agency levels.

The findings showed the essence of a sound and functioning RBM strategy implemented according to the international standards of public sector. This was evident through the existence of RBM components which included planning, budgeting, implementation, monitoring, evaluation, interdependency, horizontal and vertical integration.

The study findings also sought to add to the knowledge base on RBM implementation through better decision making related to resources management, project monitoring and accountability of the government, state corporations and its public servants for enhancing performance and eventually impact of linked initiatives.

The study recommendations included the need to carry out further studies on reasons as to why there was little or no adoption of monitoring and assessment reports in decision making for the current RBM systems and for future programmes; an independent RBM system assessment for the entire National Treasury and its departments to establish a broader status on the execution of the RBM system and/or on evaluation reports and information utilization.

CHAPTER ONE

INTRODUCTION

1.1 Background of The Study

According to Meier (2003), Results Based Management (RBM) can be identified as a management approach whose main objective was to achieve important changes in how organizations function by enhancing performance with reference to results as the basic idea. The RBM offers the managing structure with tools for risk management, strategic planning in addition to monitoring and evaluation of performance. RBM's key objective is to enhance effectiveness and efficiency through organizational learning and also to live up to transparency and accountability commitments through performance reporting.

The RBM has emerged over time as a management strategy in public sector due to donor demand and pressure from taxpayers throughout the world. The RBM implementation is an important and modern way from earlier standards making it a fairly new idea (Pollitt & Bouckaert, 2004). Its application had gained importance globally both in public and private sectors. Relevant literature was narrow and mainly contains historical and theoretical valuations of reforms in public sector. Theoretical background of RBM and its suitability as a management structure emanated from a philosophy desired to be explored. This reform was inspired by demands for effective and adequate services, disquiets about rising deficit financing, the apparent necessity for increased accountability and citizens' general dissatisfaction with their governments.

Results based management has dominated the discussion on the field of management in the world since the 1990s. This had attracted the interest of researchers worldwide having noted the significance to assess performance of RBM strategy against the set standards in improving accountability of a system. There were various empirical researchers discussing widely factors affecting implementation of RBM globally (Bester, 2012; Mayne, 2007; Perrin, 2002; United Nations Joint Inspection Unit, 2006; Vahamaki et al., 2011). World Bank (2011) and UNDP (2002) reports explain country specific evaluations on implementation of RBM strategy. Africa has been playing catch up with the rest of the world with implementation and institutionalization of RBM, more so in the running of the public sector. Zimbabwe and South Africa were the frontrunners in Africa in its adoption and institutionalization in the public sector, with various researchers conducting empirical studies to document its progress and challenges encountered so far (World Bank 2011).

Saldanha (2002) states that an effective performance management system clearly defines and measures results, in that it stipulates results and client's performance anticipations, clarifies customers clients, necessitates performance reporting, connects budgetary allocations to delivery of outputs, aids in continuous improvement and performance analysis, as well as have the capacity to manage human

resources based on merit. The use of RBM promotes a continuous improvement of service delivery and performance analysis by the public sector. Effectiveness and efficiency can be attributed to the system's implementation which can consequently lead to enhancement of service provision in public sector. This was done by maximizing the use of integrated strategic planning, monitoring performance, and implementing through systematic resource usage, performance measurement, and government reporting.

An integrated results-based management (IRBM) system was familiarized by Arunaselam Rasappan in the late 1990s (Thomas, 2005). As stated by Rasappan (2002), the IRBM was the presentation of principles of the RBM technique and procedure to all stages of development management in an incorporated manner and which methodically addresses all the aspects that determine development outcomes. The system was detailed and practically focuses on regulated and regular measurement due to its prerequisite for being interconnected to resources management, policy making and programme performance improvement. This explained how different levels of results of a given policy had been practically achieved. It incorporates all vital performance components, especially development planning, staff management, monitoring, budgeting, evaluation and decision making (Rasappan, 2010).

The Canadian International Development Agency (2012) describes RBM as a life cycle management method that assimilates strategy, resources, processes, people and measurements to enhance decision making, transparency and accountability to achieve outcomes as the central idea. The method sought to verify that when outcomes was most important concern when developing countries strategic plan, they were likely to be continuous for a longer period. Binnendijk (2000) argues that RBM improves performance and management decision making.

Economic, political and social factors stemming from globalization and linked confrontations have stirred stronger demands for enhanced responsiveness in provision of public services (Mayne, 2008). Therefore, there exists continuous burden on administrations and organizations for better tangible results delivery through provision of quality of service, accountability, effective management, clarity and more effectual development (Kusek & Rist, 2001). In reaction to this, dialogue gaining maximum value from the limited resources to promote such effectiveness came to the limelight within the global economy (Tam, 2013). In a similar vein, there was growing appreciation for presence of an outcome or performance alignment in institutions and governments as a way to boost their dealings and thereafter quality of service provision (Mackay, 2006). The RBM approach acceptance appeared as the most popular option.

The public sector in Kenya is constituted of government agencies, ministries, departments, local governments and SC. The Kenyan public sector compliments and carries out directives of executive

arm of government in management of everyday activities of a nation. The majority service providers in public sector were the ministries, while public enterprises were the various channels through which development plans was implemented. They were utility-based organizations that government commands in the quest of delivering public service essentials. The local authorities were independent governmental offices that were below a central government and were in direct contact with the community where the delivery of crucial assistance by central government was not likely. On the contrary, administrative units were either autonomous or semi-autonomous establishments in the structure of government that help in the running of specific function of a government.

Due to global pressure, the Government of Kenya introduced RBM after introduction of economic recovery strategy (ERS) in 2004 to enable government departments, ministries and other systems of government that give services to put together performance goals that were clear and in line with objectives in the ERS. This was to help improve accountability, effectiveness and efficiency of its services in public sector.

The RBM offers a management structure with instruments for planning which consist of core components of public sector to achieve high quality results. These components work simultaneously when executed at different levels of public sector. These include national level, subnational levels and line agencies. At the national level, they were institutionalized in different ministries and exhibit RBM features. The features include focus on common results, interdependency, core results attributes, horizontal and vertical integration. The features of core results attributes consist of budgeting, planning, implementation, monitoring and evaluation. To exhibit RBM components it means they have to work together to achieve defined results of public sector agency or programme (APCoP, 2011).

Another feature was the focus on common results (outputs, outcomes and impact) as specified during planning. This means that the five key components of RBM must link and be aligned together to achieve the set results of the public agency or ministry. That was to say the state-owned priorities and outcomes achieved must be the ones planned, budgeted for, implemented, monitored and evaluated.

The national level results-oriented management efforts should be interconnected with results driven efforts of agencies at national administrative rank. That was to say, national development objectives should be interpreted to specific organization priorities making all institutions equally accountable for accomplishing outcomes through effective cooperation. This link describes another feature; the linkage of horizontal and vertical integration. This was about effective coordination of the RBM components both horizontally and vertically. Vertically meaning national goals were converted into public ministries or agencies. While horizontal interdependence means coordination across sector ministries in achieving national development goals. Vertical and horizontal coordination has to exist to achieve the national goals. Therefore, any public sector ministry working towards achieving a certain

development goal must incorporate the practices of RBM in public sector which include; focus on common results, core results attributes, interdependence, horizontal and vertical integration as carried out in Sri Lanka, Republic of Korea, Cambodia, Philippines, Indonesia and Malaysia on managing for development results (APCoP, 2011).

Hatry (2006) posits that although different scholars have done assessments on factors/challenges affecting implementation of RBM, every country or sector was unique. Auditor General's Office in Canada (1996) restated that RBM system should be personalized towards desires and situations of users as no single system would be suitable for every organization since public agencies were not all alike. In relation to implementation of RBM, every nation was unique in its political and socio-cultural context (Kusek & Rist (2001).

1.2 Department of Government Investment and Public Enterprises RBM Approach

The Department is supervised by Directorate of Public Investment and Portfolio Management of the National Treasury and Planning; and it has three divisions namely; Reforms, Monitoring and Supervision, and Finance and Administration. Government Investments and Public Enterprises is a department within the Directorate of Public Investment and Portfolio Management of the National Treasury & Planning. It derives its directive from 2010 Constitution of Kenya, 2012 Public Finance Management Act, an Incorporation Act by Cabinet Secretary, Cap 101, SC Act 468, National Treasury guidelines and circulars (Government of Kenya Public Finance Management Act, 2012).

Further, the monitoring and supervision division roles include developing M&E indicators, maintaining State Corporations' (SC) information linkages, data survey, preparation of quarterly, annual and performance reports, implementation and use research information for policy. Coordination was well portrayed through the linkages of results from the department to the ministry (Government of Kenya, 2019). This division has a monitoring and evaluation policy which complements the provisions in the PIM and PFM Act guidelines in shifting attention from inputs and processes to results in line with the RBM standards and improving overall public service delivery. The PIM procedures keep track of results and impact evaluations. Mid-term and end-term evaluation of programmes, policies and projects were also significant to establish whether the projected outcomes were being attained or not.

The government of Kenya has a monitoring system known as PIMIS for performance measurement, GIMIS for state corporations and e-ProMIS for donor funded projects, all integrated to IFMIS (Finance/Budgeting). All these system feed into the NIMES. To effectively execute the mandate, the GIPE decided to develop an end-to-end automated platform for preparation, submission, analysis and approval of state corporations' budgets, among other functionalities, now known as the Government Investment Management Information System (GIMIS).

The GIPE RBM system GIMIS was developed with an objective to enhance transparency and completeness of state corporations financial and operational performance. The GIMIS allows for digital data submission and processing, and feeding information into the larger IFMIS national system. It integrates all processes, functions and data into single platform for planning, administrating and executing components reviews. Through the GIMIS, GIPE developed a loans module to allow capturing of disbursements and repayments of SC loans data. The department planned to develop, by end-June 2024, the analytical framework for financial evaluation and risks analysis and integrate it as an additional module to GIMIS that will facilitate the identification, monitoring, quantification, reporting and management of fiscal risks stemming from SCs, including guarantees and contingent liabilities.

The GIPE is the unit that Cabinet Secretary to the National Treasury exerts the ownership and oversight purposes in state owned enterprises and other government investments over shareholding, equity participation or state membership subscription in every government investment (Government of Kenya Public Finance Management Act, 2012).

In terms of implementation, GIPE has a monitoring and evaluation plan aligned to National Integrated Monitoring and Evaluation System (NIMES) which is central and critical in assessing extent of department and ministry situation in the success of the SC. Through the plan, objectives of the monitoring and supervision division was expected to be achieved by the GIPE department. It was mandated to review treasury circulars, analyze state corporation budgets, respond to requests by SC on policy issues, review SC audited accounts, prepare treasury memoranda, annually report to parliament on government investments, appraise, identify training needs, capacity build, and handle staff welfare and human resource matters through staff retention strategy, and monitor and supervise state corporations' performance.

It is the responsibility of the monitoring and supervision division to provide relevant information in a constant learning procedure that guarantees performance takes place in accordance with work plans and projected results were realized in an efficient and effective way. It appraises projects and other investment proposals by SC and other entities for direct national government grants, loans, advances, or direct borrowings from financial institutions to facilitate The National Treasury approvals. The department lead the preparation and publication of reports relating to national government investments as indicated in the PFM Act. The department analyze regular reports from alternate directors and making recommendations on the financial, operational and governance issues with respect to the management of SC. The GIPE through GIMIS feedback on SC, advise on appropriate interventions on possible liabilities and economic risks relating and government investments through continuous monitoring. They coordinate review of SC annual budget, corporate plans and other strategic

undertakings for approval by the National Treasury (Government of Kenya Strategic Plan, 2018/19-2022/23).

The GIPE monitoring and supervision plan is in a matrix which helps in analysis of the GIMIS data reviewed monthly, quarterly or yearly against the set objectives. It also helps in budgeting, implementation, planning, monitoring and evaluation of the activities against the set objectives. The plan was to promote evidence-based information in GIPE management and this helps in decision making and formulation of policies that help the country in achieving the Kenya Vision 2030 and SDGs. The division's monitoring and evaluation discoveries on performance audit were a decisive factor in identifying priority areas for intervention and resource allocations and re-allocation

The GIPE has been implementing RBM strategy over the years, in executing its components in public sector which comprise planning, budgeting, implementing, monitoring and evaluation. Even so, no comprehensive assessment of RBM practices has been undertaken to ascertain the gaps. The knowledge base on RBM, especially in Kenya, was not well developed which justified the valuation of RBM performance in public sector using GIPE as case study.

1.3 Problem Statement

The OECD (2017) points to the need for systematic review of RBM processes and purpose to guarantee that RBM stays effective and fit for purpose. Mayne (2007) affirms the obligation to frequently evaluate and refurbish features of an RBM system to keep abreast of any developments. This was due to hardly any attempt by institutions to frequently review and update RBM systems in order to mirror what had been learned. Hence, revising and modernizing was necessary as what is important today might be obsolete in the future. This had gained support from Diamond (2005), and the World Bank Roundtable (2006), who also advocated for the requisite to assess RBMs frequently whilst Mackay (2006) stressed the necessity to do an assessment of RBM. Vahamaki (2017) believed that overseeing regular reviews on RBM systems, including how a selected management method affects practice, was equally significant.

A research study conducted by Try (2006) towards the execution of RBM inside Canadian public service, determined that there exists a possibility to improve insight and value of the idea through additional exploration. According to the Office of Canadian Auditor General (1996), most systems in RBM have emerged through trial and error. Therefore, body of knowledge need to be built by researching on different organizations experiences.

Chilunjika (2016) carried out a study in Zimbabwe on the operationalization of RBM in the Transport, Communication and Infrastructural Development Ministry that focused on personnel performance. Study findings suggested that valuation of experiences of other countries' as well as review of major writings and other sources on RBM implementation had a lot to be improved. Mavhiki et al. (2013),

on factors affecting RBM adoption in Zimbabwe civil service, indicated that RBM adoption was considered a controversial policy among civil servants in Zimbabwe. Achievements of RBM systems implemented in Uganda, South Korea, Malaysia and Australia clarify that RBM systems provide brief information flow on attainment of practices (Madhekeni, 2012). Appraisals of RBM in Zimbabwe omitted the implementation process evaluation, as well as impact on capacity building efforts (OPC, 2012). Generally, literature from individual's perspective appeared to be missing.

Pazvakavambwa and Steyn (2014) conducted a study in South Africa on implementation of RBM in developing countries public sector and concluded that management of public sector in unindustrialized and industrialized countries had considerably transformed from focusing on managing inputs to techniques that highlighted implementation of activities. It was suggested that empirical studies should happen in developing countries public sector to define outcomes already attained in introducing RBM and to show how organizations resolved setbacks and problems encountered.

Mundondo et al. (2019), conducted research on implementing RBM in the Zimbabwe civil service. The findings showed a significance difference among RBM practice common in public service in Zimbabwe and international best practices. It revealed that Zimbabwe's civil service was clearly not following essential guidelines and principles on RBM implementation. The conditions on the ground contradicted effectual best practices referenced in previous studies and literature. The RBM system was not a serious practice on the ground as it largely remained a paper exercise. Therefore, it was important to perfect the RBM system so as to stay relevant to current situations and also adequately address domestic demands by responding to the ever-changing environment.

Asia Pacific Community of Practice (2011) carried out a study on managing for development results on the application of results in specific management functions in Sri Lanka, Republic of Korea, Cambodia, Philippines, Indonesia and Malaysia. It concluded that there were endless possibilities to what these countries can do to better their RBM systems, and also learn from their individual experiences from countries with similar circumstances.

In Kenya, not many studies have concentrated on the use of RBM in departments and government (Njoki, 2011; Wairimu, 2015; Minja, 2016; Otworu, 2013; Nguni, 2017; Ogata, 2018). Identified gaps comprised the need to build on relatively limited literature on individual experiences in different institutions, especially in the public sector. These studies suggested additional research and application on implementation of RBM strategy in public sector. Research should also include subordinates and other contributors in case matching problems and insufficiencies were established, joint action be applied to enhance the RBM execution in the country.

One key objective of RBM is to strengthen both human and programme capacities to manage the programme, improve planning, budgeting, implementation, monitoring, evaluation, strengthen

coordination of partners' both at county and national levels and improve performance of GIPE's RBM system in general. An appraisal of RBM practice in the public sector by Minja (2016) did not cover RBM practices in sector specific gaps; rather it focused on RBM practices in general and not the components. Therefore, a comprehensive assessment of RBM practices was required at GIPE as a public agency to determine if the department conforms to RBM international standards set in executing its components.

While there have been studies on RBM in Kenya's public sector in general, there was no study that focused on GIPE department. It was therefore considered a necessity to assess the case for GIPE so as to get a better understanding of implementation of RBM practices in public sector. This study aimed to explore further research for broad understanding.

1.4 Study Questions

The study sought to answer the following questions:

1. To what extent are core results attributes of RBM components implemented at GIPE?
2. To what extent is there interdependency among RBM components at GIPE?
3. To what extent is horizontal and vertical integration at the GIPE department?

1.5 Study Objectives

The general objective of the study was to assess the extent to which RBM practices were executed at the department of GIPE.

The following were the specific objectives:

1. To establish the implementation of the core results attributes of RBM at the GIPE;
2. To establish the implementation of interdependency among RBM components at GIPE; and
3. To determine the RBM practices regarding horizontal and vertical integration of results at GIPE.

1.6 Justification of The Study

In view of escalating national financial deficits, the fading confidence by the political leadership and poor service delivery in organizations in the public sector, RBM emerged as a necessity for transparency and accountability for good governance (Meier, 2003).

The RBM is significantly a strategic initiative that very much impacts projects performance in the public sector as it focuses on results. The research findings will help in the identification of the capacity gaps if any for staff involved in implementation of department projects and for M&E department staff thus help in knowledge advancement. The government ministry will be better positioned to ensure that the proposed interventions meet the minimum threshold for performance

improvement. The findings will add to constant learning about what is working, what adjustments need to be made and what lessons learnt to be drawn for future use.

In regard to theory on RBM, gaps indicated that it was essential for additional investigation to be carried out in an effort to identify optimal location for regulatory function, mostly performance measurement and linked activities. Another issue was to carry out further research to probe the levels of awareness concerning RBM among the subordinate staff. In a similar vein, evaluating awareness by expanding the list of contributors to incorporate citizens and politicians to assist in deciding on the nature of capacity building efforts needed.

The outcomes from this study will be useful to The National Treasury in understanding the present status in the application of RBM at GIPE and assist in better decision making related to resources management, project monitoring and accountability of the government and its public servants. These study findings were expected to add to enhancement of the public sector performance at the national government and SC through the acceptance of RBM strategy in management of the public sector and inter-agency coordination. This was due to its emphasis on outcomes and impacts. This can bring about improved public sector projects governance and performance, higher quality projects and programmes, greater alignment between programmes and projects in line with the sustainable development Agenda 2030, improved ease, clarity and quality of reporting, strengthened organizational teamwork, accountability and learning. In turn, numerous government parastatals, agencies, county governments, other development agencies at the national, regional and global stages will feel the scale up effect due to the fulfillment of the national objectives and goals.

The study findings will be useful to The National Treasury to comprehend the present state of affairs in the application of RBM at GIPE and help in decision making in policy preparation and implementation in relation to RBM method in its departments. The findings will help contribute to the wealth in literature review by other scholars in the academia. Also, implementing RBM was expected to bring new information for accountability and transparency to boost existing knowledge base in the RBM area. Results of the study will have practical and policy implications helpful to RBM&E scholars and researchers as it was expected to form a basis for further research. Lastly, the outcomes of the study will be valuable in improving the procedure by merging or acclimatizing lessons learnt from other countries and institutions, especially those in Africa where environments have resemblances. Recommendations will further help in strengthening GIPE as a public agency and same approach can be used in other public sectors and agencies to determine strong and weak components.

1.7 Scope and Limitations of The Study

The study took place at The National Treasury, specifically at the GIPE department in Nairobi, Kenya. The target population was employees working in the department across all the three divisions. A small

number of employees might not be closely engaged in RBM purely, though the ideal was that they should. Thus, the study established beforehand that 38 respondents were in a way handling RBM aspects in the institution before being included in the study as the target population.

Due to limitation of time, government structures and funds, the study limited its focus on the GIPE department due to the large nature of The National Treasury and as the entity in charge of exercising oversight and ownership functions in SC and other government investments leaving out the service recipients. Even so, the sample was large enough to allay this limitation and allow for various analyses without causing any concerns.

Generality of the study findings was limited to GIPE, and other directorates of The National Treasury and Planning due to nature of work in that the M&E policies and guidelines cuts across the agencies and departments.

However, the findings may not be generalized to other public sector institutions due to differing mandates in the public sector and also programmes from one sector of the economy to the other vary. Additionally, this study was carried out in public sector and not in private organization that has very diverse structural and operational basis from those of the government agencies. Therefore, conclusive generalization may be impractical.

CHAPTER TWO

LITERATURE REVIEW

2.1 Background

This chapter sought to put RBM into context with respect to previous works by other scholars. Evolution of theory and practice of RBM and its components were examined. Succeeded by a summary of factual evidences on the implementation of RBM from literary works; and lastly how the study was conceptualized and operationalized.

2.2 Theoretical and Historical Perspectives of RBM in The Public Sector

The idea of RBM&E as a RBM unit was thought to have started with Peter Drucker as management by objectives and programme performance budgeting system in the 1960s. This idea then improved for the public sector in the 1970s as a logical framework (Rassapan, 2002).

However, Vahamaki et al. (2011) argued that tracking the origins of results management to an exact setting or period in history was not easily done. Further, they state that it was a part of management theory in a broader sense all through the 20th century. And that, the practices and ideas today affiliated with RBM and related to notions in development aid probably started to form just around the Second World War.

Results based management had its origins in business administration concepts, social science research, programme evaluation and costs management. The practice originally used in the organizations in private sector, proceeded faster to the civil service as part of reforms change in 1980s and 1990s using different names and forms. This answered to outcomes driven method as a final product of social, political and economic pressure (Pollitt & Bouckaert, 2004). Over the last decade, it advanced into a valid and an acknowledged approach for enhanced public sector effectiveness, efficiency and accountability. Currently, it has progressively been executed in multilateral organizations and development agencies. Results based management suggests a new means of action and a basically divergent method to administration that had by tradition been used in public sector and development organizations (ADB, 2006).

In the management of programmes, results were put at the middle of projects life cycle from strategic planning, systematic implementation, monitoring, performance measurement, evaluations along with reporting and the decision-making processes in organizations (Ortiz et al., 2004; Rasappan, 2010). Performance measurement is one of the prominent aspects of RBM. A RBM that mostly relies on the act of quantification of results showed a move from concentrating on activities and inputs to outputs and outcomes (Eyben, 2013).

In the practice of management from 1954, Drucker had popularized the management by objectives notion. The traditional business practices started to shift by the late 1960s. The quality of cost accounting and financial planning began to improve due to the development of planning, programming and budgeting systems for accountability purposes. The systems permitted management to exercise extraordinary control over inputs for instance, operating and capital expenses and human resources.

Management by objectives was familiarized and thrived in the organizations within the public sector along with private businesses in the 1960s and 1970s, with many in management positions learning to set objectives and recognize good performance indicators. Drucker cited that when managers analyzed an eventuality and acted from performance, objectives and results point of view, they were very much successful than when viewed from budgets and operation programmes perspective (Drucker, 1954). He acknowledged this mindset and emphasized the education perspective though discouraged use of machine-driven approaches to management of outcomes as witnessed in other fields of management theory. This enhanced their capability to manage effectively and delegate responsibility correctly (ADB, 2006).

Programme management by activity methods was developed throughout the 1970s and 1980s joining numerous tools and techniques to schedule activities. This emerged with productivity tools that produced comparatively strict blueprints from executing programmes and projects, mirroring their roots in fields of study such as engineering and systems management. For example, Gantt charts, the work breakdown framework, critical path analysis and programme evaluation and review technique.

An alternative or rival system of orienting management towards results developed soon after the management by objectives. Leon J. Rosenburg of Fry Consultants was requested by USAID to create an archetype for development aid project management in 1969. The product was the logical framework method which quickly became popular. In the 1970s and 1980s, this approach randomly spread starting with the development aid to the public administrations in OECD countries. During this process, new acronyms were given to rebrand the approach as new professionals embraced it; the orientation of objectives and goals in project planning were close variations of the LFA (Vahamaki et al., 2011).

Several methods integrated management of finances with the management of results in the 1970s, 1980s and 1990s in a parallel development. In the business circles, the corporate performance management method combined budgets and results orientation with an opinion to link costs with attained results. Performance based budgeting technique emerged in development aid and public administration in the 1980s and 1990s with the same idea to budgeting and performance management. These methods had a hard time attaining extensive recognition in public management although powerfully influential.

Report published in 1997 by the OECD *In Search of Results: Public Management Practices*; studied the public reform struggles of the past decade in ten OECD countries. The conclusion reached was that results-based management variants had been noticeable, sometimes a dominant aspect in the ten experimenting countries. RBM therefore turned out to be an essential element of modern-day public management processes during this era (Meier, 2003). Many OECD countries initiated far-reaching public sector reforms in a rejoinder to political, social and economic burdens throughout the late 1980s and early 1990s, introducing a strong emphasis on RBM.

By the end of the 1980s, governments in a number of industrialized countries, particularly OECD members, had reorganized themselves to concentrate more on clients and services. They gained knowledge from several management trends: ISO accreditation, quality assurance/quality control, and total quality management usually related to continually improving standards, quality and service. The 1990s observed a sequence of wide-ranging public sector improvements in many European and Northern American countries and in New Zealand and Australia in reply to growing political, social and economic burdens. Governments were almost consistently experiencing expanding economic and financial shortfalls, the rising public demands for cost effective government services, competitive pressures of globalization, and that they be accountable. Consequently, they were compelled to reply to the public displeasure along with the requisite for accountable and transparent systems of administration at all ranks in public sector (ADB, 2006).

The development sector in the 1990s can be termed as a period of reforms and of reformulations. Inequalities among the rich and poor were on the rise and aid organizations were more troubled about the globalization impact on poor people in unindustrialized countries. During that time, there was awareness that conventional development aid tangible results did not meet the expectation of the prospects; to mean that the desired or intended outcomes were not being realized. There were also serious concerns that development aid funds be utilized more effectively and equitably. The revolution on results sprang to the areas which steer development growth partially as a consequence of a general opinion amid persons of high influence, aid fatigue, decision makers in government and donor funded programmes were ineffective in realizing the development objectives created were inadequate. Concurrently, administrative units' budgetary allocations were decreasing and the governments were involved in restructurings in strategic management. By 2000, there was mounting tension for change in structural reforms and revising the old-fashioned operating modes (OECD, 2013).

The revolution on results was also driven by the advancement of powerful tools founded on systematic examination of logical cause and effect. Log frames acceptance was quickly as they were valuable tools for better planning and implementation. Public sector reforms experiences slowly seeped into development organizations and new methods and tools were established. The RBM has been part of the reforms process in public sector. As such, the idea was incorporated by stages into the public

administration of most countries of the OECD in the 1990s, as part of new public management reforms.

Most countries worldwide have put in efforts to improve performance and guaranteeing that government activities accomplished expected results in different ministries for example, in the United States, President Bill Clinton advancing its “reinventing government” administrative reforms introduced RBM whose basic concepts were contained in the National Performance Review (1993) and Government Performance and Results Act of 1993.

Treasury board secretariat and Auditor General’s Office in Canada had been the main supporters of performance management and public reforms in a study on OECD countries carried out in Canada, it being one of the ten OECD countries. They took the initiative in introducing RBM in the federal government, and the UNDP RBM was presented as a new management tool when Mark Malloch Brown was appointed administrator in 1998 (UNDG, 2011). The RBM terminology was probably invented in the early 1990s. It was introduced gradually in several bilateral and multilateral development cooperation agencies (Binnendijk, 2000). Here, RBM signifies return to concepts of Drucker, and his persistence on successful results driven as a mindset and viewpoint on management, instead of exact set of guidelines.

The RBM can be examined as the new public management ideology introduced in the 1980s, which was aimed at modernizing public management by making it more market driven. Numerous terminologies have been utilized in New Public Management (NPM) to signify results management method. In development aid, RBM came to be the favoured demarcation, and it was accepted by the OECD/DAC and later by the development community at large in the first years of the new millennium (Binnendijk, 2000).

In 2000, 189 countries embraced the change to outcomes orientation as was understood in the MDGs. The MDGs set specific objectives for poverty elimination and other causes of human deficiency. Monterrey Consensus of 2002 emphasized the need to marshal financial resources in an efficient manner and highlighted development effectiveness as a key functional principle. Therefore, the Joint Marrakech Memorandum motioned the importance on improved quality of aid, with specific areas of alignment and harmonization of programing, strengthen M&E systems to track progress and assess outcomes. More recently, Paris Declaration on aid effectiveness and its impact on development aid laid out a practical roadmap based on harmonization, ownership, alignment, managing for results and an international monitoring system for mutual accountability as the key tenets for effective aid. That was to say, the drive towards managing for development results picked up speed and there were agreements in regards to the importance of accomplishing measurable results (ADB, 2006).

A properly implemented RBM was known to enhance efficiency and effectiveness. RBM transcends concentrating solely on formal measurement and systems to give emphasis to shared principles and

leadership as main success factors. This entailed a multifaceted method to deal effectually with inability and complexity to adjust to change upholding the key values and public confidence. RBM should have entrenched within it a devotion to organizational learning and improvement in support of results-based decision making linked to attaining an organization's strategic goals.

Time and again, government-wide executive orders or legislation have guided and driven the public sector reforms. For instance, Government Performance and Results Act of United States passage in 1993 was the primary factor in national government reforms. A 1995 United Kingdom white paper publication on Better Accounting for the Taxpayers' Money was a turning point obligating the government to take action on resource budgeting and accounting.

The United Nations launched a programme in the 1990s, to familiarize RBM systems in governments of OECD member countries. A 2004 report by The United Nation on outcomes of this action indicated that, the shift to results-based culture had been difficult and lengthy, because administrations struggle to empower their staff and managers in defining specific objectives and accomplishing of goals (Ortiz et al., 2004).

The RBM was adapted in Kenya's public service as a result of the 24th September 2004 cabinet memorandum, to assist in the delivery of the ERS for wealth and employment creation. In April 2005, through the head of public service, a circular on institutionalizing RBM in Kenya's public service was presented as a comprehensive institutional framework for systematization of RBM to provide efficient, effective and ethical targeted outcomes for Kenyans by executing several development programmes (Otwori, 2013).

2.3 Components of RBM System

The basis of RBM is its comprehensive and practical emphasis on methodical and organized performance measurement and demand for recognition of links through resources management, programme enhanced performance and policy making (Thomas, 2005). Thomas (2007) stated that the RBM system comprises of five main components, for which there exists two primary and three complementary components. Rasappan (2010) added integrated development planning component which he considered to be the key to the RBM. The two components were an essential supporting structure for reporting, monitoring, implementing and planning on organizations performance, and connecting the its performance to staff accomplishments. They include: (i) Results based personnel performance and (ii) Results based budgeting systems. Whereas the three that supplement the primary components were: (i) Results based monitoring and evaluation framework; (ii) Results based management information system; and (iii) e-government system which provides the dynamic dimension to the whole framework. The complimentary components activate inactive information by instituting some level of causality which was significant for the central budgeting office in

determining on resource allocation. However, integrated development planning was also added by Rasappan (2010) as a key component to RBM.

2.3.1 Integrated Development Planning

Integrated development planning (IDP) may be described as structured and systematized method to development planning with full cross interconnections and a clear emphasis on organizations' results and impact. It includes strategic plans of national governments priorities and issuing them to lowest ranking administrative units in a structured and systematic way. Planning utilizes a longer time frame and concentrates on attainment of intended organization outcomes over a period of time (Rasappan, 2010).

2.3.2 Results Based Budgeting System

Results based budgeting (RBB) was regarded as strategic management tool to help in enhancement of both public sector accountability and resource management (Thomas, 2005). According to Rasappan (2010), RBB presents a combined results based budgetary system to plan and manage financial resources to change policies into realities. It recognizes budgets as vital tools for performance management at every organization level. The RBB focuses its attention on value for money. Hence, outcomes were seen flowing from input application, completion of activities, outputs delivery and realization of impacts. Thomas (2007) stated that RBB focused on organizations performance measurement and its interconnections with budgets and policies.

The integrated performance management framework was at the center of RBB system, which was normally in performance agreement form (Thomas, 2005). The performance agreements showed the degree of accomplishment that can be reached by an organization in a year which was based on its budgetary allocation (Rasappan, 2010). Combined performance management framework was wide-ranging seeing that it concentrates on longer term objectives that match yearly goals, it gives baseline information that management can utilize for preparing and setting organizations targets and decides necessary interagency harmonization (Rasappan, 2010; Thomas, 2005). Due to its combined nature, the framework was a major organizations performance monitoring and reporting gadget.

2.3.3 Results Based Personnel Performance System

Thomas (2005), stated that a results-based personnel performance system (RB PPS) among the key components in RBM. The system was beneficial in advancing reforms or introducing new performance initiatives in an organization. The RB PPS function was to determine and command accountability structure below RBM. According to Rasappan (2010), RB PPS guaranteed that staff performance at every rank was methodically interconnected with substantial programme performance. Performance of an individual staff member was weighed using the personnel performance appraisal system. The system then was connected to the combined performance management framework.

Personal dimension of attributes and qualities was given attention. The RB PPS supports planning, execution of human resources management and development (Thomas 2005; Rasappan 2010).

2.3.4 Results Based Monitoring and Evaluation

Monitoring and Evaluation (M&E) was internalized and institutionalized supplementary part of integrated results-based management (IRBM) and also believed to be a key component piece of IRBM system (Rasappan, 2007). The RBM&E system was put to use in the public sector for organized monitoring programme performance, planning, evaluation of performance, reporting performance and utilization of information for programme improvement and decision making. It allowed the management to make efficient ongoing assessments about progress towards attainment of the higher-level goals and objectives/outcomes of their organization and their stakeholders (Spreckley, 2009). If the organization does not measure results, it was unable to declare its wins from failure. Therefore, it can be put to use by organizations as a tracing system that identified trends and patterns, adapting strategies and use the attained information in decision making in the interest of programme management (IFRC, 2011).

Thomas (2007) declared that monitoring was deep-seated in all ranks of an institution, although centered on key performance reference points and important outcome areas that assist methodical performance in programme management. The RBM&E system supports in forging strong linkages among usage of policy and resources implementation.

2.3.5 Results Based Management Information System

The IRBM system consists of two main components; RBB and RBPPS. The two furnish the structure for performance planning by recognizing objectives that need to be achieved. These components give performance measurement aspect to organizations strategic planning structure using dependable, correct and immediate information needed for decision making. Nevertheless, close observation was necessary to show that specific programme was on track. This needs adequate information from the planning structure that ought to give necessary information. It was the organization's management information system that detects demands for information at the various extents. The need for information at the various extents could be identified when interconnections within the organization performance framework was motivated by the M&E framework and the MIS (Thomas, 2005).

Rasappan (2010) defined management information system (MIS) as an institutionalized structure that discloses M&E systems information at every rank to assist role players and managers in efficient decision making in a timely manner. Hence, MIS was utilized in providing the source for efficient decision-making sustenance system at various rankings of an organization for programme adjustments and improvement to policies and strategies. The MIS can be devised and created for manual use or by

automated systems. Computerization allows for efficient and effective retrieval and manipulation of information.

The functions of the M&E and the MIS systems were closely connected, because they continually depend on one another to make certain that right information get to the right people at the right time (Thomas, 2005). It was also able to provide early warnings if an organization's programme gets sidetracked.

2.3.6 Electronic Government System

An electronic government system denotes digital connections amongst specific government and its employees such as ministers, cabinet secretaries, businesses and the citizens. The e-government definition by Jeong (2007) views the system as the usage of information and communication technologies, information technology and other web-based infrastructure to encourage efficiency and effectiveness of provision of services in public sector.

Key elements within IRBM system offer the needed framework for monitoring, implementing, planning and reporting on an organization's performance with required systematic connections to personnel performance (Thomas, 2005). This system assists in information, interconnectivity and communication of systems.

2.4 Empirical Evidence of Assessment of RBM

Decades had gone by and continuous pressure was rising on governments globally to increase transparency and accountability as taxpayers were showing great concern with the usage of public resources. The rise of public interest over declined confidence in their leaders in national account deficiencies, political cycles and the necessity for accountability and transparency in government were some of the issues that gave rise to inception of RBM in public sector. A new and common management emergency method had been documented by several researchers in OECD countries public sector.

By tradition, government administrations have concentrated on financial, technical and human resources given as inputs for programmes. There have been significant changes in modern management agenda with emphasis being on management in public service that was anticipated to be result oriented, clearly defining their results, objective and performance measurement focused, performance evaluation and utilizing information for making any modifications to create improved programmes (CIDA, 2007).

Assessments carried out by numerous institutions both in private and public indicate the diverse literature which supports utilization of RBM in program management at national, sectoral and subnational levels. A valuation of know-how on the use of RBM method in development co-operation organizations in OECD members and development assistance committee showed that the key

objective of RBM system in any programme or organization was production and usage of performance information for accountability for outcomes and requires self-assessment and monitoring of improvement towards outcomes and reporting on performance (OECD, 2013).

Empirical researchers have discussed widely factors affecting implementation of RBM globally (Bester, 2012; Mayne, 2007; Perrin, 2002). World Bank (2011) and UNDP (2002), reports explain country specific evaluations on implementation of RBM strategy. Literature addressed the gaps in implementing RBM and stress the need for countries to formulate policies to address the same. This was to increase policy formulation.

Various African, Asian and Pacific countries were among those that have given in to demands and accepted the RBM practice on development of projects management and implementation. These countries performance was founded on contrasting lessons learnt in ongoing public sector reforms and differing economic situations and levels of development (APCoP, 2011).

Evidence of the accomplishment of RBM systems implemented in Uganda, Australia, Malaysia and South Korea explain that RBM systems provided a summarized flow of information on realization of practices (Madhekeni, 2012). For the last decade, Uganda experienced extensive reforms of the economy and had accomplished economic stabilization. This was because of the acknowledgement of effectiveness in provision of services as a necessity of national leadership development. This showed a strong proof of engagement to better outcomes by the government of Uganda (Eitu, 2016). The survey embraced a transverse method and sampled all CARE Uganda technological staff and administration officers and gathered data by usage of a questionnaire and interview methods. The outcomes showed that effectiveness in service delivery was attached to the idea of RBM. The study found out further that RBM accelerated progress on social development projects in ways that the results impacted the community. Uganda was proclaimed as one of the countries to gain from debt distressed initiatives for poor countries after its commitment to attaining set objectives on an action plan to eradicate poverty (Madhekeni, 2012).

For a more open and transparent budget process, Uganda introduced new measures to both the internal and external stakeholders with extra modernized fiscal system, resource management, decentralized planning and provision of services to the communities. With respect to M&E and PEAP, various harmonization and coordination problems still burdens the country (Hauge, 2001).

In South Korea, IRBM was put to use to revamp the administrative duties after an economic downturn which caused ineffectiveness in public administration. Initially it was opposed though the authority was able to carry out its implementation (APCoP, 2011).

Literature review and studies on RBM implementation conducted by Mavhiki et al. (2013), an assessment of RBM execution in Zimbabwe's civil service sector showed that RBM adoption was

considered a controversial policy among the civil servants in Zimbabwe. The findings showed presence of mixed feelings about appropriateness, effectiveness, efficiency, sustainability and usefulness of RBM system in the civil service of Zimbabwe government. Further indications were that challenges of resources, incentives, capacities, culture and performance indicators was affecting implementation of RBM in public ministries.

Madhekeni (2012) study on execution of RBM systems in Zimbabwe: context and implications for public sector examined the gains from RBM, challenges faced and lessons learned. This studied Zimbabwe's experiences with RBM programme in contrast to international experiences from other countries. The findings from field research and documented search showed forces of patron-client links, politics of administration and widespread administrative and technical incapability have been main hindrances to realization of RBM progress. The declarations cast doubt on whether a proper situational analysis was carried out before introduction of the initiative. However, a literature review indicated that even though the implementation of RBM system was easier said than done, it still continues to be an essential instrument of effective public administration.

Malaysia was the leading unindustrialized nation to adopt the idea in finance and budgeting fields. Aligned with its Vision 2020 strategy designed to make Malaysia completely industrialized country by the year 2020, the government carried out numerous reform rectifications consisting of productivity, quality management, efficiency and improved financial compliance. Outcomes and impacts of government programmes were greatly emphasized (APCoP, 2011). It was an ambitious move on the governments' part to demonstrate innovativeness, foresight, energetic dedication to guarantee return on investment on projects and programmes execution stage (Thomas, 2000).

Australia was recognized as one among many early innovators of RBM, with a variety of inherent gains favourable to construction a robust results-based system (Mackay, 2002). It was considered as country with a steady public sector that embraces the values of professionalism, accountability, transparency, honesty, integrity, completely rounded fiscal systems and dependable political leadership. The eagerness to execute RBM was confirmed through the public sector and in private organizations. Mackay (2002) observed that the system evolved from stringent control administered by the department of finance to a very intentional method through the public sector. The voluntary approach improved evaluation commitment and ownership. Individual departments and agencies were currently handling issues of M&E in Australia. This was due to the relaxed formal requirements and sections administer M&E centered on their own precedence's while some management practices were still carried out by the cabinet.

After assessing the implementation of RBM in Malaysia, Thomas (2000) postulated that execution of the idea ought to be administered methodically emphasizing on its interconnectivity. Endless pleas and limitations on resources for quality delivery of commodities appealed to the administration to be

results focused, and IRBM demonstrated as a practical agent to aid in making decisions on programme plans, implementation, monitoring and evaluation.

Chilunjika (2016) carried out a study on operationalization of RBM in Zimbabwe at the Transport, Communication and Infrastructural Development Ministry. The study focused on personnel performance. Its findings indicated that efforts concerning institutionalizing of results-based culture in state institutions faced a number of setbacks stalling the successful implementation of RBM namely: resistance to change, the political administration/affairs of the state, and inconsequential buy-in among staffs and management, as well as widespread administrative and technical incapability. The findings questioned whether a comprehensive situational analysis was undertaken before the implementation of the approach. It further states that drafting efficient strategies for execution of RBM was necessary to increase its gains while limiting the detrimental effects in its execution.

In South Africa, a study by Pazvakavambwa & Steyn (2014) on the implementation of RBM in public sector of developing countries concluded that management of public sector in unindustrialized and industrialized countries had significantly shifted attention on managing inputs to techniques that emphasized on execution of activities. It was suggested that empirical studies be carried out in public sectors of unindustrialized countries to ascertain the outcomes already achieved in introducing RBM and to demonstrate how such organizations coped with the setbacks and difficulties encountered.

In Kenya, several scholars have demonstrated that RBM can assist the country to achieve enhanced performance in regards to implementation, management and completion of several development projects (Ogata, 2018; Minja, 2016; Otwor, 2013). Though, there still existed gaps which showed that the country had not gained completely from RBM in project execution as a number of these researchers called for further assessment of RBM system.

Minja (2016) carried out an appraisal on practice of RBM in Kenya's public sector. He argued that there was need for development tacticians and scholars to concentrate on the RBMs influence in public sector projects since there were various setbacks facing its achievement. This assessment established ten most common practices perceived to be deterring RBM practice which comprised management paralysis, organization culture, accountability practices, unquenchable greed by the leaders to take all the credit, resistance to change, the managers' doubtfulness and fear of failure, organizational politics, and organizational hierarchy and systems and degree of employees' capability. The study elaborated further that in spite of the significance and planned adoption of the RBM in public sector, a directive leadership style of management was embraced by public service leadership. Further findings indicated that a great number of the staffs were excluded by management and in turn they were mentally disengaged from the organization.

In a similar study, Otwor (2013), on institutionalizing RBM in the Kenya public service, embraced a cross sectional research methodology and only used questionnaires as data collection instruments.

Outcomes showed that implementation of RBM initiatives was affiliated with numerous gains though it was met with a number of setbacks. Some of the gains realized in accordance with the study included: better execution of strategic programmes and attainment of measurable results; utilizing creativity and innovation from all staffing ranks; Enhanced accountability at high executive levels, improved service delivery to citizens; etc. The challenges however included: poor projects priorities, slow attitude change, poor political meddling and very little emphasis on remodeling of service delivery systems with suitable adoption of ICT, etc.

Wairimu (2015) also argued about the effect of RBM performance on programmes in the public sector and pointed out that RBM method to implementation, programme planning and management played a pivotal part in the performance of programmes. The research specified that if lands ministry in Murang'a County assimilated the idea of RBM in its development programmes, there would be an increase in results due to efficiency and effectiveness of the system in years to come.

2.5 Conceptualization of The Study

The study adopted Asia Pacific Community of Practice (APCoP) framework for RBM in the public sector. This was a practical ideal type of framework (Shields and Tajalli, 2006). It conceptualized five components: budgeting, planning, monitoring, implementation and evaluation which epitomize the key components of RBM. It further added two levels namely; the vertical and horizontal integration and interdependency. The APCoP framework for RBM in public sector identified four key features of RBM. The four key features of RBM in the public sector include: components display key results attributes; concentration of components on common results; interdependency of components; and integration of components vertically and horizontally. Its principle was that if an RBM system exhibits all these four features, then this enables informed decision making and continuation of learning that additionally strengthens the system. This framework was used as a guide to assess how GIPE department of the National Treasury exhibit key features of RBM in public sector (ADB, 2012; APCoP, 2011).



Figure 2.1: Results Based Management in public sector

Source: APCoP 2011. Framework for RBM in public sector

The RBM framework classified key results attributes for individual components in public sector as follows:

Results based planning: was concerned with setting of strategic goals, in-depth analysis of intended results flowing downwards from large scale impacts, like increased employment to clearly defined sector outcomes for instance, improved literacy levels. These outcomes must be specified with clarity within a given budget, with SMART targets and indicators, as well as with applicable M&E structures.

Results based budgeting: establish that budgets were designed in order to attain outcomes identified during planning stage. RBB system preferably generated multiyear budgets which were consistent with medium term expenditure structure to be in line with time limits for planning.

Results based implementation: indicated that people, guidelines as well as the procedures were efficient, economical and effective in providing the services and activities envisaged.

Results based monitoring: implied that designated persons were in charge of performance assessment alongside points of references identified during the stage of drafting project plans, established for the processing of data, data interpretation and the scripting approaches.

Results based evaluation: incorporated designated persons and contributors in appraising the attainment of the objectives specified during the time when project plans were documented through established approaches.

Focus on common results: Each RBM component should display alignment to the corresponding results (outputs, outcomes and impacts) and priorities owned by the national government. The emphasis on common shared results should interconnect all the components of RBM system, that is,

the results identified during planning ought to be identical with those budgeted for, delivered, monitored and evaluated. It strengthens the interrelationship among the components.

Interdependence: Collaboratively, RBM components must operate in a synchronized way to bring about and assess the attainment of national and sector goals. This emphasized an important lesson for capacity development: concentrating on a single component and leaving the rest unable to function in a balancing way diminishes interventions effectiveness. A single component may be used to gain access for reform though the interdependency of the components ought to be acknowledged and reinforced.

Horizontal and vertical integration: RBM efforts should be linked vertically over all levels of government and horizontally across sector ministries. This necessitated/demanded that national development objectives were interpreted into clearly defined agency priorities. Additionally, development programmes were progressively taken a cross sectoral nature. Consequently, agency undertakings should be harmonized through assimilating agencies' RBM. Likewise, results oriented undertakings at national administrative ranks should be interconnected with those of local and regional ranks in order that all ranks of government give rise to shared development outcomes. Reinforcing vertical and horizontal integration permits greater ascription and contribution to specified outcomes nationally, and ensures initiatives in diverse organizations and at various ranks of government complement each other.

2.6 Operationalization of The Study

Table 2.1 below informed the operationalization of the study as presented in Asia Pacific Community of Practice on managing for development results rapid assessment guide (ADB, 2012). The study operationalized the components: budgeting, planning, monitoring, implementation and evaluation which incorporate the core components of RBM and further added two levels namely, interdependency and the horizontal and vertical integration (APCoP, 2011). Each of the 7 components was divided into several questions to form a grid. The grid entailed a series of questions that were read out to the respondents, it ranked their levels of agreement. The grid proposed scoring on each of the levels by selecting an option that best described GIPE's status of performance. The average score for each variable was associated with the question from the component. The grid was used in assessing the implementation of RBM in GIPE.

Table 2.1: Operationalization Grid

No.	Component	Indicators	Measurement
A	Results-based planning		
1	Links among levels of outcomes from national down to functional level are defined.		
2	Indicators and targeted goals are specified for each level of outcome SMART?		
3	Planning targets are in line with available budgets.		
B	Results-based budgeting		
1	The budget is backed by the planned priorities i.e., outcomes and outputs.		
2	The budget procedure allows for effective and efficient prioritization of resources.		
3	Budgets have a medium-term horizon connected to plans and budgetary targeted goals.		
4	Financial management reporting, tracking and dissemination practices for budget implementation are established.		
C	Results-based implementation		
1	The organizations priorities are in line with budget deliverables.		
2	Processes and policies are oriented to deliver envisioned outcomes.		
3	Incentives are in place to motivate people and align their behaviours towards delivering expected outcomes.		
4	Service delivery standards are well-established.		
D	Results-based monitoring		
1	Indicators are frequently checked/monitored?		
2	Organizational duties towards assimilating monitoring into agency and ministerial functions are well-defined.		
3	Reporting, analysis, data processing and dissemination procedures are specified.		
4	Information from monitoring is utilized to improve policy, programme, project design and management.		
E	Results-based evaluation		
1	The evaluation methodology uses indicators from planning.		
2	The evaluation methodology uses results information obtained from monitoring exercises.		
3	Organizational duties are well-defined.		
4	The system permits for independent audits/evaluation.		
5	The dissemination methodology and stakeholder engagement has been formulated.		

75% and above of responses implies the attribute is strong, scores between 55% and 74% implies a moderate attribute, scores less than 55% implies a weak attribute.

A Likert scale was utilized to rate and code responses from the sub-components; from Strongly disagree to Strongly agree. Strongly disagree =1; Disagree =2; Neutral =3; Agree =4; Strongly agree =5

Table 2.1 Continued			
F			
	Planning–Budgeting	Indicators	Measurement
1	The planning process sets priorities for the budget.	75% and above of responses implies the attribute is strong, scores between 55% and 74% implies a moderate attribute, scores less than 55% implies a weak attribute.	Strongly disagree to Strongly agree. Strongly disagree =1; Disagree =2; Neutral =3; Agree =4; Strongly agree =5
2	The budget aligns to the planned goals.		
	Budgeting–Implementation		
1	The budget defines final service delivery outputs.		
2	Services are delivered as per the planned budgets.		
	Implementation–Monitoring		
1	Measurable performance indicators promote results monitoring of service delivery.		
2	Monitoring systems enhance service delivery.		
	Monitoring–Evaluation		
1	The monitoring system gives data for evaluation.		
2	Evaluation measures monitored results attained.		
	Evaluation–Planning		
1	Evaluations inform subsequent plans.		
2	Planning outcomes take into consideration information from evaluation.		
G			
	Horizontal	Indicators	Measurement
1	National development goals are converted into specific agency preferences.	75% and above of responses implies the attribute is strong, scores between 55% and 74% implies a moderate attribute, scores less than 55% implies a weak attribute.	Strongly disagree to Strongly agree. Strongly disagree =1; Disagree =2; Neutral =3; Agree =4; Strongly agree =5
2	Organizational duties are defined jointly with sector line ministries in charge of attaining results through effective cooperation.		
	Vertical		
1	Development targets are interpreted and flows down to all levels of government.		
2	Organizational duties are specified, with all the levels of government that contribute to delivering a mutual set of development outcomes.		

Source: (APCoP, 2011)

CHAPTER THREE

METHODOLOGY

3.1 Background

This chapter explained procedures and methods that were utilized in collecting and analyzing data. It includes research methodology, targeted audience, sources of data, sampling size and procedure, methods of data collection and analysis.

3.2 Research Design

To make an assessment, research adopted the quantitative research design. Quantitative research methods take account of the procedures of collection and analysis of numerical data, its interpretation and writing of reports on outcomes of the research. Procedures occurred in experimental and survey studies that were specific and detailed, recognizing a sample and population to draw inferences, determination design type, data collection and analysis, displaying findings, interpret the data and scripting the research in a reliable way (Creswell, 2014). Structured interviews or questionnaires were used for data collection with intention to generalize from a sample to a population (Fowler, 2009).

3.3 Sources of Data

The study used both primary and secondary data. Primary data collection was through personal interviews from first-hand source. Secondary data involved the analysis of relevant information already available. Secondary data in this case was observing the documents to gain better understanding into the department in terms of RBM implementation; some of the documents that were very critical for this work include The Kenya National M&E Policy, PFM Act 2012, Performance Contract among others (see appendix v for a detailed list). Face-to-face quantitative data was collected through a structured questionnaire guide adopted from rapid assessment guide formulated from the APCoP framework for RBM in the public sector (APCoP, 2011).

3.4 Sample Size and Sampling Procedures

The study targeted a population of 38 participants involved in core results attributes in one way or another. The 38 respondents targeted for this study were engaged in budgeting, implementing, evaluation, planning, monitoring and reporting at GIPE. They comprised: 1 director general; 3 directors; 3 senior deputies (divisions); 3 deputies; 1 senior accountant; 3 senior accounts assistants; 6 principal investment officers; 6 senior investment officers; 2 investment officers; 3 accountants; and 7 M&E officers.

Amin (2005) wrote that purposive sampling was founded on hypothesis that one wants to ascertain, understand and gain insight. Purposive sampling includes the identification and selection of members of the population who were likely to possess certain characteristics, experiences or phenomenon of

interest (Creswell and Plano Clark, 2011). Select individuals, units or cases that fit the study. Purposive sampling technique was utilized in selection of respondents where office holder was just one; e.g., the director general. Purposive sampling enables the researcher to select information-rich cases related to phenomenon of interest, in this case RBM and its implementation process. Du Gay (1996), states that purposive sampling allows the researcher to acquire in-depth knowledge of the study.

Otherwise, the study utilized simple random sampling method to choose the rest of the potential respondents. Random sampling is a probability sampling technique in quantitative research for choosing respondents in which each member of the population has an equal chance of being chosen to make assumptions about the population. A sample chosen randomly is supposed to be an unbiased portrayal of the total population.

3.5 Data Analysis

The data interpretation eases logical consequence to be done about information from the collected data. Analysis data for this research included identification of general patterns within replies as well as critically evaluating them in accordance with study goals.

A 5-point Likert scale was utilized to categorize 5 components as well as two extra levels into three categories - strong, moderate and weak (APCoP, 2011; McLeod, 2023). Brown (2011) states that these were differentiated as Likert-type item: single or stand-alone questions using some aspect of Likert response alternatives, i.e., when an item is used to measure a single variable, and Likert scale: made up of multiple Likert-type items grouped or combined to describe a feature. The Likert scale points were arranged by calculating a component score from Likert type items. The scores were then populated and data analysis done using frequencies and percentages (Boone and Boone, 2012).

The rating of the Likert scale was weighted to enable data analysis as presented in Table 3.1 below.

Table 3.1: Summary of Numerical Coding of Responses

Response	Weight
Strongly agree	5
Agree	4
Neutral	3
Disagree	2
Strongly disagree	1

“Strongly agree” had a weight of 5 and the weights reduce through to “Strongly disagree” with a weight of 1. The scores were then added and data analysis was done using frequencies and percentages.

The research had expected to obtain the data from 38 key personnel; although, the study managed 30 participants giving a response rate of 79%. The deficit was due to work related assignments outside the scope of the study as well as some staff being on sick leave for extended periods when data collection was carried out.

For each question, a weight of 5 was used to represent the highest score that could be achieved per question. This weight of 5 was multiplied by the total number of respondents which was 30, to give a value of 150. The resulting products were used as denominators when computing the scores for each question. A sum of all the responses per question was obtained to get the numerators. These numerators as percentages of their corresponding denominators generated scores for each question. To obtain a score for each component, the average of the scores of all its sub-components was obtained by adding them up and then dividing by the number of sub-components. The scoring facilitated rating the components into; strong, moderate and weak. A total mark of 75% and above implied the system was strong. Scores between 55% and 74% amounted to a moderate system; while scores of less than 55% would signify a weak system (Pimentel, 2010). When it is assumed that Likert scale items have interval measurement, information from all respondents was practically summarized to form a weighted frequency. This was then interpreted by use of an interval which then corresponds into strong, moderate and weak categories. For every complete questionnaire, each item was analyzed separately and or the responses from each item summed to create a score for the component (Boone and Boone, 2012; Brown, 2011; Jamieson, 2004; Pimentel, 2010). A score of 75% was reached as an adequate mark for the decision rule founded on a statistical decision that was expressed in accordance with the observable occurrence that follows probability rules and was not completely known. The GIPE Department has been in the process of implementing RBM for some time, 75% was a mark in the upper third of the total score making it a reasonable score for determination of a positive decision.

3.6 Approvals and Ethical Considerations

Any data collected during this was only used for the aforementioned research objectives. The ethical procedure for this study was initiated only after receiving written approval from Ethics and Scientific Review Committee of NACOSTI Kenya. Implementation of this study complied with all policies and procedures of the ethical review board. Where relevant, letters were sent to The National Treasury and Economic Planning Principal Secretary, Public Investment & Portfolio Management's Director General and GIPE staff for authorization prior to fieldwork explaining the study and its purpose. The researcher carried copies of this letter, introduction letter, and the ethical approval letter, to present to the respondents during fieldwork.

Individual consent was obtained from the potential individuals. A copy of the information sheet was given to the respondent. The information sheet included an introduction, the purpose of the study, how questions were to be administered, risks and benefits to those who participate if any, stated that data

collected would be confidential and that participation was purely on a voluntary basis. Respondents were informed prior to seeking consent that they may stop the interview at any time and was not required to respond to questions they did not wish to.

To ensure confidentiality, information that could directly link participants to the research was not collected. Every effort was made to protect the identity and confidentiality of the participants. It was not possible to identify the participant in any information we release or use. We did not discuss individual answers with the staff members. Therefore, results did not link any participant to the research. Information from all survey respondents was used in a completely anonymous way. Study findings will be shared with the GIPE department.

CHAPTER FOUR

STATUS OF RESULTS BASED MANAGEMENT AT GIPE

4.1 Introduction

The chapter explained status of RBM at GIPE as per the outcomes. First, the core results attributes of RBM components were presented. Second, the findings on the implementation of the interdependency among RBM components were explained. Third, horizontal and vertical integration findings and finally, discussion of the findings was presented. Results from both observation of the documents and structured interviews with the department's staff were all combined to give a comprehensive picture of the status of the RBM.

4.2 Respondents Characteristics

The research had expected to obtain the data from 38 key personnel; although, the study managed 30 participants giving a response rate of 79% and the non-response rate was 21%. The deficit was due to work related assignments outside the scope of the study and some staff being on sick leave for extended periods when data collection was carried out. Table 4.1 below showed a summary of the number of respondents who took part in the study.

Table 4.1: Distribution of Respondents

Distribution of Respondents	
Job Position	Number
Director general	1
Directors	2
Senior deputies	3
Principal investment officers	6
Senior accounts assistants	4
Senior investment officers	5
Investment officers	2
Accountants	2
M&E officers	5
Total	30

Source: Author (2023)

Shown in Table 4.2 below were number of years that various respondents had worked in the institution. From the study 10% of the total respondents had worked in the organization for a period of <5yrs, 23.3% worked for 6-10yrs, 40% had worked for 11-15yrs, 6.7% worked for 16-20yrs, while 20% stated that they had been in the organization for more than 21 years. This implied that a big percentage of respondents had worked in the organization for more than eleven years.

Table 4.2: Respondents Length of Service

Year	Frequency	Percentage
<5	3	10
6 -10	7	23.3
11-15	12	40
16 -20	2	6.7
21 and above	6	20
Total	30	100

Source: Author (2023)

4.3 Core Results Attributes of RBM Components at GIPE

This segment presented findings of the valuation of the components of RBM which comprised; budgeting, planning, monitoring, implementation and evaluation. The assessment sought to determine if the five components at the GIPE Department were compliant with RBM standards. The study results for each of the components and their sub-components were discussed below.

4.3.1 Planning as a Core Results Attribute

Planning as a core results attribute and component of RBM at GIPE department of The National Treasury was discussed using three sub-components. The study sought to establish whether planning was results focused in its implementation. Table 4.3 below showed an overview of the results from the structured questionnaire for the planning component.

Among the three sub-components of planning, the extent to which targeted goals and indicators stated for each level of outcomes were SMART had the highest score of 83.3%. As observed in the document's reviews from the secondary data, I counterchecked and confirmed that the goals, indicators and the targets set were SMART and must be agreed to by all the stakeholders in the process. Links among goals and agency deliverables were well recognized. The planning targets aligned to available budgets sub-component followed closely with 80.7%. This indicated that targets were in line with available budgets and well thought out plan played a role in supporting results-based budget. The question on interconnections among levels of outcomes from national flowing down to operational levels defined had a score of 80.7%. The planning component had an average score of 81.3%. This implied the attribute was strong having scored above 75%. Cambodia, Philippines,

Malaysia and Sri Lanka public sector assessments produced similar results (APCoP, 2011). Respondents' responses and documents observation indicated that the planning component was driven by The National Treasury Planning policy documents, the Kenya Vision 2030 and other documents as attached in appendix v. The findings from secondary data showed that the department and The National Treasury as a whole had detailed strategic plans. I observed the performance contracts; a major accountability structure drawn up to maximize success. Planning flows to sub-national ranks to set out goals that steer investment priorities of; (i) national medium-term plan, (ii) regional development plans, and (iii) local development plans by county governments. The plans and investment programmes at different stages were intended to form a unified system of planning activities and outputs in which top levels give the context and the lower ranks serve as policy inputs.

Table 4.3: Planning as a Core Attribute of the RBM at GIPE (n=30)

Results-based planning	Score (%)
Links among levels of outcomes from national down to functional level are defined.	80
Indicators and targeted goals are specified for each level of outcome SMART.	83.3
Planning targets are in line with available budgets.	80.7
Component score	81.3

4.2.2 Budgeting as a Core Results Attribute

Budgeting as a core results attribute and component of RBM at GIPE department of The National Treasury was discussed. This component was divided into four sub-components. The study sought to establish whether budgeting was results focused in its implementation at GIPE.

Table 4.4 below showed an overview of the results for the budgeting component. From the findings, the extent to which spending plans have a medium-term horizon connection to fiscal targets and plans had the highest score of 81.3%; the budget backed planned priorities question had the lowest score of 76%. The budgeting component had an average score of 79% implied the attribute was strong having scored above 75%. Similar results were exhibited by Indonesia and Malaysia public sector (APCoP, 2011).

Table 4.4: Budgeting as a Core Attribute of the RBM at GIPE

Results-based budgeting	Score %)
The budget is backed by the planned priorities i.e., outcomes and outputs.	76
The budget procedure allows for effective and efficient prioritization of resources.	80
Budgets have a medium-term horizon connected to plans and budgetary targeted goals.	81.3
Financial management reporting, tracking and dissemination practices for budget implementation are established.	78.7
Component score	79

4.3.3 Implementation as a Core Results Attribute

Implementation as a core results attribute and component of RBM at GIPE department of The National Treasury was discussed. This component was divided into four sub-components. The study sought to establish whether implementation was results focused in its implementation at GIPE. See Table 4.5 below, an overview of findings for the implementation component.

From the findings, the extent to which service delivery standards established had the highest score of 78%; while the question to which stimuluses were set up to motivate people and align behaviours in regard to delivering planned results had the least score of 58.7%. The implementation component had an average score of 72.4%. Having scored between 55% and 74% indicated a moderate attribute and appraisals in Cambodia, Indonesia, Malaysia and Sri Lanka public sector had similar results (APCoP, 2011).

Table 4.5: Implementation as a Core RBM Attribute at GIPE

Results-based implementation	Score (%)
The organizations priorities are in line with budget deliverables.	76
Processes and policies are oriented to deliver envisioned outcomes.	76.7
Incentives are in place to motivate people and align their behaviours towards delivering expected outcomes.	58.7
Service delivery standards are well-established.	78
Component score	72.4

4.3.4 Monitoring as a Core Results Attribute

Monitoring as a core results attribute and component of RBM at GIPE department of The National Treasury was discussed. This component was divided into four sub-components. The study sought to establish whether monitoring was results focused in its implementation at GIPE.

Table 4.6 below showed an overview of the findings for the monitoring component. From the findings, the extent to which analysis, reporting, data processing and dissemination methodologies stated had the highest score at 80%; while the question, if monitoring information was used to develop programme, policy, project design and management had the least score of 66.7%. The monitoring component had an average score of 74.4%. This inferred a moderate attribute having scored between 55% and 74%. Assessment done in Philippines public sector showed parallel results (APCoP, 2011).

Table 4.6: Monitoring as a Core RBM Attribute at GIPE

Results-based monitoring	Score (%)
Indicators are frequently checked/monitored.	74.7
Organizational duties towards assimilating monitoring into agency and ministerial functions are well-defined.	76
Reporting, analysis, data processing and dissemination procedures are specified.	80
Information from monitoring is utilized to improve policy, programme, project design and management.	66.7
Component score	74.4

4.3.5 Evaluation as a Core Results Attribute

Evaluation as a core results attribute and component of RBM at GIPE department of The National Treasury was discussed. This component was divided into five sub-components. The study sought to establish whether evaluation was results focused in its implementation at GIPE.

Table 4.7 below showed an overview of the findings for the evaluation component. From the findings, the extent to which organizational responsibilities defined had the highest score of 86.7%; while the evaluation methodology question on use of results information from monitoring had the least score at 70%. The evaluation component had an average score of 75.5%. This implied a strong attribute having scored above 75%. Similar results were realized in evaluation of public sector in Republic of Korea and Sri Lanka (APCoP, 2011).

Table 4.7: Evaluation as a Core RBM Attribute at GIPE

Results-based evaluation	Score (%)
The evaluation methodology uses indicators from planning.	70.7
The evaluation methodology uses results information obtained from monitoring exercises.	70
Organizational duties are well-defined.	86.7
The system permits for independent audits/evaluation.	73.3
The dissemination methodology and stakeholder engagement has been formulated.	76.7
Component score	75.5

Figure 4.1 below provided an overview of the findings of the RBM at GIPE. The component with the highest score was planning closely followed by budgeting component; implementation component scored the lowest.

The outstanding results-based components were planning, budgeting and evaluation, with monitoring and implementation components being moderate. While displaying important results driven attributes and features in all components, existing system displayed a weakness in its implementation stage. Similarities can be drawn from community of practice on measuring for development result country cases especially the Republic of Korea and Malaysia. The Korea's RBM initiative in public sector exhibits significant aspects of results orientation in each component and together were significantly interconnected. Korea's strong components included implementation, monitoring and evaluation while budgeting and planning were moderate. Malaysian public sector defined and played an important role through policy formulation with focus on planning, outcomes, budgeting, monitoring, implementation and evaluation which were better aligned and integrated to improve resource allocation. Its three strong components were planning, budgeting and monitoring with implementation and evaluation being moderate (APCoP, 2011).

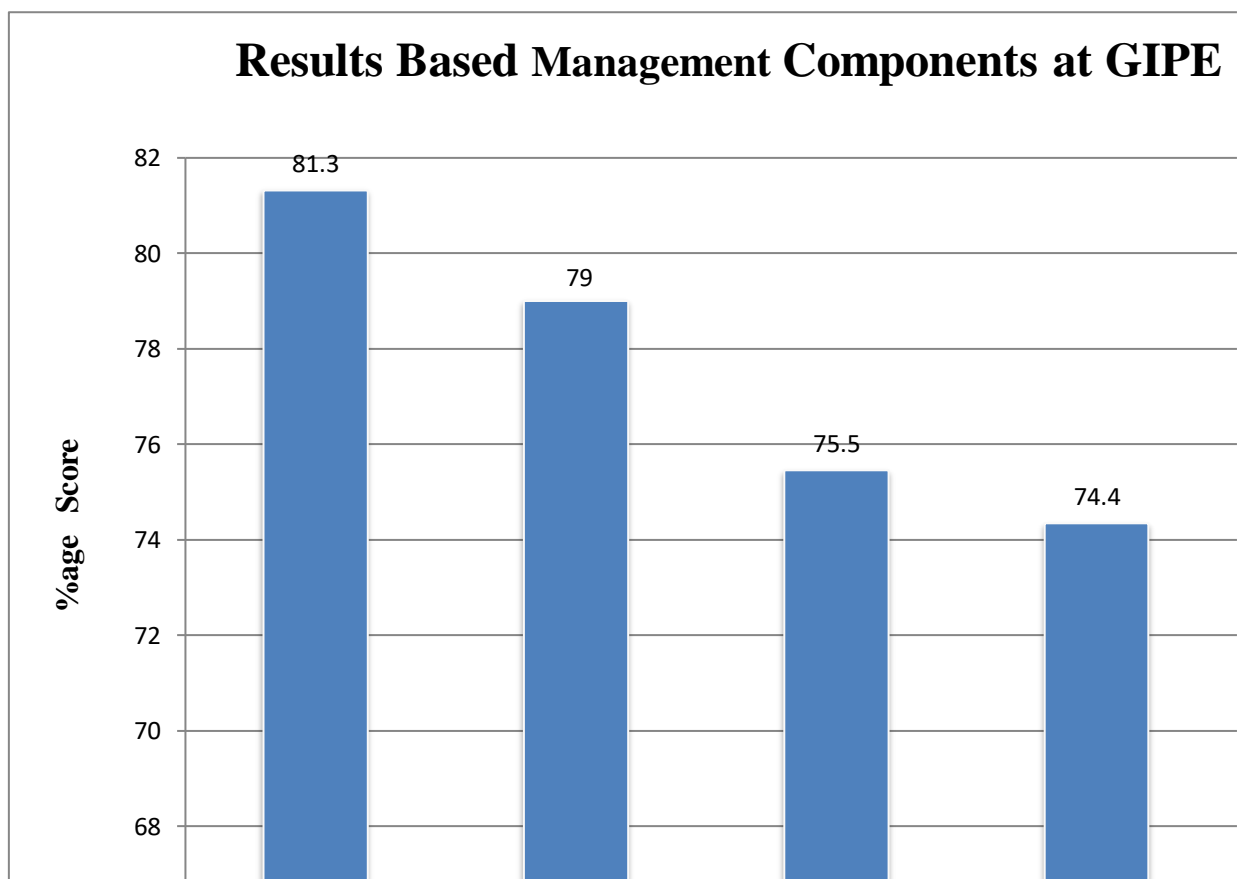


Figure 4.1: Scores (%) of the Results based management by component

4.4 The Implementation of Interdependency Among RBM Components at GIPE

This section presented findings of the appraisal of interdependency of the RBM components which comprised; budgeting, planning, monitoring, implementation and evaluation. The assessment sought to determine if the components collectively work in a synchronized way to measure and deliver accomplishment of national and sector objectives. The interdependence of these components was a necessity, for example, planning instituted from the top-level sets policy limits for budgeting but was determined by budget restrictions. During implementation, planning goals were appraised and budget was often reconsidered to mirror results of monitoring and more. This underscored an important lesson for capacity building: concentrating on a particular component and leaving the others incapable to work in a complementary manner will reduce effectiveness of any intervention. A single component may be utilized to gain access for reform though the interdependency of the components must be acknowledged and strengthened.

Table 4.8: Interdependency as a Core RBM Attribute at GIPE

Interdependency	Score (%)
Planning–Budgeting	
The planning process sets priorities for the budget.	86
The budget aligns to the planned goals.	82.7
Component score	84.4
Budgeting–Implementation	
The budget defines final service delivery outputs.	82.7
Services are delivered as per the planned budgets.	65.3
Component score	74
Implementation–Monitoring	
Measurable performance indicators promote results monitoring of service delivery.	76.7
Monitoring systems enhance service delivery.	74.7
Component score	75.7
Monitoring–Evaluation	
The monitoring system gives data for evaluation.	80
Evaluation measures monitored results attained.	70.7
Component score	75.4
Evaluation–Planning	
Evaluations inform subsequent plans.	72.7
Planning outcomes take into consideration information from evaluation.	70.7
Component score	71.7

The study results for each of the component’s interdependency with the adjacent components was as discussed below. Table 4.8 above showed an overview of the findings for the interdependency component. From the findings, the strongest interdependency among components was the planning-budgeting with the highest average score of 84.4%, which inferred a strong attribute having scored above 75%, Republic of Korea and Malaysia public sector exhibited similar results. Implementation-monitoring scored 75.7% implied a strong attribute with a score of above 75% and Republic of Korea public sector had comparable results. The monitoring-evaluation linkage was third with a score of 75.4% indicated a strong component, assessments in Republic of Korea and Sri Lanka public sector showed comparable results; budgeting-implementation link was fourth with a component score of 74% implied a moderate attribute and Cambodia, Indonesia and Malaysia had similar results; and the evaluation-planning had the least score of 71.7% being the weakest link amongst the other links. Evaluation and planning linkage was moderate with limited feedback to planning, where its results

were hardly utilized in budgeting, planning and policy making. Republic of Korea and Malaysia assessments displayed similar results (APCoP, 2011; Rasappan, 2002).

4.4 Horizontal and Vertical Integration

This section presented findings of the valuation of the vertical and horizontal integration components. The assessment sought to determine if the RBM efforts were combined horizontally in cross sectoral ministries and vertically over all ranks of government. This entailed that national development goals were converted into clear-cut agency priorities. Results oriented activities at national government level should be associated with those at local and regional levels in order for all the ranks of government to add to a shared development outcome (APCoP, 2011; Thomas, 2007).

The study outcomes for each component of integration were discussed below. Table 4.9 below showed an overview of the findings for the integration components.

From the findings, among the four sub-components of the vertical and horizontal integration, the extent to which national development goals converted into specific agency preferences had the highest score of 84.7%; while the organizational duties question being specified with all levels of government contributed to delivering mutual development outcomes had the second highest score at 84%. The vertical integration component had an average score of 84%, while the horizontal integration component had a score of 83.4%, both integrations scoring above 75% implied the attributes were strong - indicating that the national developmental goals were being cascaded to agency levels (APCoP, 2011).

Table 4.9: Horizontal and vertical integration as a Core RBM Attribute at GIPE

Horizontal and Vertical Integration	Score (%)
Horizontal	
National development goals are converted into specific agency preferences.	84.7
Organizational duties are defined jointly with sector line ministries in charge of attaining results through effective cooperation.	82
Component score	83.4
Vertical	
Development targets are interpreted and flows down to all levels of government.	83.3
Organizational duties are specified, with all the levels of government that contribute to delivering a mutual set of development outcomes.	84
Component score	84

Findings from the study showed that horizontal and vertical integration existed at GIPE among the components. This portrayed a strong integration of results from the national to the sub-national levels.

4.6 Discussion of the Findings

Study findings evidently established that RBM was implemented at The National Treasury department of GIPE as a public sector agency. The departments' administration supported the features of the RBM in their strategic plans, policies, monitoring plan which translated into a result oriented public sector entity.

4.6.1 Core Results Attributes

An assessment of the RBM was conducted at the department of GIPE as a public sector agency. The study sought to determine how GIPE implemented RBM features in the public sector by determining core results attributes, interdependency between the components, horizontal and vertical integration of results through sector ministries and in all levels of government.

The study used a quantitative research method and data was collected through face-to-face interviews using structured questionnaire guide adopted from the APCoP framework for RBM in public sector (APCoP, 2011). A 5-point Likert scale was utilized to rate and code responses. The framework used for the assessment had five components: budgeting, planning, monitoring, implementation and evaluation which incorporated the key components of RBM and further added two levels namely: interdependency and the horizontal and vertical integration. The IRBM is a presentation of the principles of the RBM technique which incorporated all vital performance components in an integrated manner (Rasappan, 2010).

The study findings evidently established that RBM was implemented at The National Treasury department of GIPE as a public sector agency. The departments' administration supported the features of the RBM in their strategic plans, policies, monitoring plan which translated into a result oriented public sector entity. Study findings revealed that planning exhibited the strongest results-oriented features, closely succeeded by the budgeting component, evaluation component came in third, while monitoring was fourth. The implementation component scored the lowest. The first three components with scores above 75% were rated as strong while monitoring and implementation were adjudged as being moderate having scored between 55% and 75%. These results confirms as Saldanha (2002) stated that an effective performance management system clearly defined and measured results.

The department of GIPE has a habit of assimilating annual top-down with bottom-up planning through consultative development planning process through the sector working groups.

A detailed examination of gathered data showed that the implementation of RBM and all its functions which tried to tie input efficiency with the output and outcomes performance had met with setbacks. Performance and implementation were measured by the number of generated outputs, inputs used and the physical growth of the development projects. In an effort to defend greater performance, this resulted in wasteful expenditure. Most facilitators of programmes often viewed the purpose of

monitoring and reporting as theoretical paper exercise of box ticking instead of a valuable tool to aid high quality implementation.

4.6.2 Interdependency

The GIPE had thrived in setting up several RBM components, along with strong planning which was progressively in line with the budget and sufficient results monitoring concentrated on outputs instead of inputs.

Study findings confirmed as Binnendijk (2000) identified that RBM improved performance and management decision making having established that the components team up in a combined manner to accomplish and ascertain the success of departmental and the national government's goals. The department of GIPE had adopted the national development strategy as an entire government technique that flowed from national to the programme, subnational, sectoral, and institutional levels. Planning, budgeting, implementation and monitoring components were interconnected with one another. Though, a challenge remained in overcoming a weak linkage particularly between evaluations and planning components (APCoP, 2011; Thomas, 2005; Rasappan, 2002). The interconnections of components proposed that strengthening weaker RBM components and links at GIPE would be the key to sustaining initial reforms and achieving common results

4.6.3 Horizontal and Vertical Integration

The horizontal and vertical integration with ministries, departments and agencies was very strong. The results showed that adequate policies and procedures were generally in place to deliver intended results. As stated in APCoP (2011), all levels of government coordinate to play an important and collective role in accomplishing results.

The Government Investment and Public Enterprises RBM system displayed significant features of results orientation in every component, which were very much unified. The strongest components were planning, budgeting and evaluation. Monitoring and implementation components were moderate. The constant search for RBM began with a strong and highly centralized planning which had been decentralized over the years (APCoP, 2011).

Figure 4.2 below showed key features of RBM at GIPE. The current system portrayed planning, budgeting and evaluation as the strongest components, while implementation and monitoring components were shown as moderate.

The linkage between planning–budgeting, implementation–monitoring, and monitoring–evaluation was strong. However, challenges remained in reducing the moderate links among RBM components, particularly in budgeting–implementation, and evaluation–planning.

The key features of RBM showed alignment to the corresponding nationally agreed upon priorities and outcomes linkage to all the components throughout the cycle. This strengthened the interdependency among the components (Thomas, 2000).

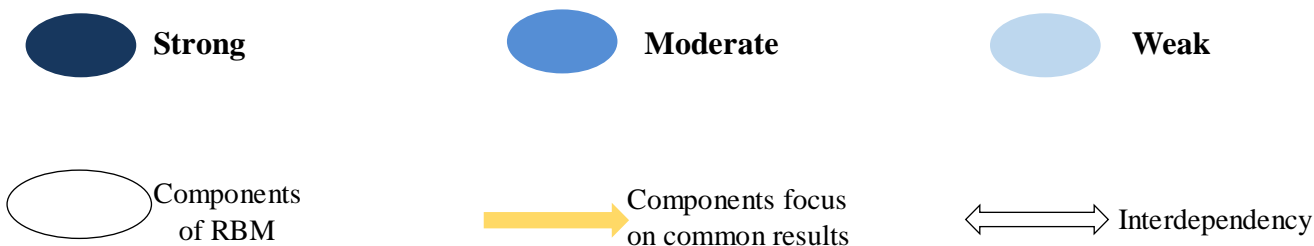


Figure 4.2 Key features of results-based management at GIPE

CHAPTER FIVE

SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1 Introduction

This chapter gave a summary of the study. It then arrived at conclusion from findings and finally it proposed recommendations of the study.

5.2 Summary

This study assessed the extent to which RBM practices were executed at the department of GIPE. The study aimed to investigate whether core results attributes, interdependency and horizontal and vertical integration of RBM practices implemented at GIPE department conforms to international RBM implementation guidelines.

The study analyzed data from 30 respondents drawn from planning, budgeting, implementing, monitoring, evaluation and reporting at GIPE. The sample included a total of 38 target population and 30 responded giving a response rate of 79%.

The study findings revealed that the planning component of RBM had the highest score closely followed by budgeting component. Implementation component scored the lowest. The strongest results-based components in this study were planning, budgeting and evaluation, while monitoring and implementation components were moderate. Interdependency component showed planning-budgeting as the strongest, followed by implementation-monitoring. Monitoring-evaluation linkage was third. Budgeting-implementation and the evaluation-planning links were moderate. Horizontal and vertical integration showed an indicating that the national developmental goals were being cascaded to agency levels.

Findings showed a functioning RBM strategy implemented according to international standards of public sector. This was evident through the existence of RBM components which included planning, budgeting, implementation, monitoring, evaluation, interdependency, horizontal and vertical integration.

5.3 Conclusion

The study sought to identify RBM core results attributes, interdependency, horizontal and vertical integration in performance measurement practices concerning the execution of programmes on utilizing the RBM methodology at GIPE as a public agency.

The analysis showed that a culture of results allowed the department to benefit from RBM implementation while consistent usage of outcome information for learning and conscious decision making was a prerequisite for nurturing such a culture.

The findings showed the essence of a sound and functioning RBM strategy implemented according to the international standards of management in public sector. This was evident through the existence of RBM components which included planning, budgeting, implementation, monitoring, evaluation interdependency, horizontal and vertical integration.

The study established that The National Treasury as a whole had detailed strategic plans each with a number of outcomes, output indicators and intermediate outcome. Planning cascaded to sub-national levels to set out objectives with indicators and targets that guide the investment priorities at each level.

The GIPE has thrived in setting up many of the RBM components, along with strong planning continuously in line with the budget and adequate results monitoring concentrated on outputs instead of inputs.

Despite a significant results orientation with strong RBM system, there were challenges to improving the National Treasury, department of GIPE performance. These included the challenge of overcoming moderate implementation and monitoring components. In addition, there were currently multiple small systems operating simultaneously across ministries, departments and agencies. Government has a monitoring system known as PIMIS for performance, GIMIS for state corporations and e-ProMIS for donor funded projects, all integrated to IFMIS (Finance/Budgeting).

The study findings showed that components team up in a combined manner to accomplish and ascertain the success of departmental and the national government's goals. This integration ensured that upcoming programme resolutions were well informed to enable constant education and the firming up of the RBM system individual components and their linkages.

The findings further indicated that the levels of results linkage among government ministries, department and agencies were well established. The extent to which relations among levels of results from national down to operational levels were defined given that planning component was guided by The National Treasury and Planning policy documents and Kenya Vision 2030 which strengthens medium term strategic plan and results-based monitoring and a performance culture concentrating on results.

The study realized that horizontal and vertical integration within government ministries, departments, and agencies was strong. The GIPE department had managed sufficient horizontal and vertical integration of the RBM components. This owes to a strong linkage between the national-level planning, budgeting, implementation, monitoring and evaluation components. Normatively, national government, ministries, departments and agencies budgeting, planning, implementation and monitoring were connected to each other. While results oriented management flowed downwards to local government processes, capacity building of the local administrations and improving harmonization with national government agencies was crucial to attaining national goals.

The study concluded that the department of GIPE should ensure that there was compliance with the policy provisions, especially linkage of evaluation-planning interdependency activities to identify needs for performance.

5.4 Recommendations

To reap all the benefits of the RBM system, attention should be given to the following recommendations:

From the findings, it was clear that there was a disconnect in the evaluation-planning linkage. The evaluation-planning had the least score being the weakest link amongst the other links. This linkage was moderate with limited feedback to planning. It showed that GIPE has little or no recognition for the use of M&E information and this hinders RBM results utilization. The interconnections of components proposed that reinforcing weaker components and links in GIPE RBM system will be crucial to achieving common results. A study to establish the reason and show benefits of adopting the results findings of evaluation processes was recommended in this study.

The RBM evaluation results utilization were perceived to be used in a big way in the ministry, departments and agencies yet this study has showed that utilization of monitoring and the evaluation results has not been that high when it comes to decision making at the planning phase or that they were not usually used to bring about change. Evaluation was done as routine with little intention to focus on use of the generated information thereafter. Therefore, there is need to carry out further studies on reasons as to why there was little or no adoption of M&E reports or information in decision making for the current RBM systems and for future programmes.

There was an indication of a growing institutional change on implementation of RBM systems. The National Treasury has put in place a number of RBM systems within ministries, departments and agencies. The departmental or agencies RBM systems such as GIMIS feed information into the larger IFMIS national system. This therefore calls for an assessment of the entire National Treasury RBM system and its departments to establish a broader status on implementation of RBM system and/or on evaluation reports and information utilization.

Additionally, further comprehensive assessments should be done with the state corporations, government investments and other stakeholders to check levels of awareness concerning RBM implementation at GIPE so that if similar problems and deficiencies are found, concerted efforts may be exerted to improve the implementation of RBM.

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APPENDICES

APPENDIX I: INDIVIDUAL ASSESSMENT TOOL

Introduction

My name is Jacqueline Migai, a student at The University of Nairobi. I am pursuing a Master’s degree in Monitoring and Evaluation of Population and Development Programmes. One of the university’s requirements for the award of the degree is to carry out a research project in areas of individual interest.

Study Title: An Assessment of the implementation of Results Based Management approach in the public sector: A case study of The National Treasury, Department of Government Investment and Public Enterprises.

The purpose of the survey is to undertake an assessment of RBM in public sector. Your response will assist in providing an extensive knowledge of current status of the RBM at the GIPE department.

The survey is undertaken as a research project for the fulfillment of a Master’s course in Monitoring and Evaluation of Population and Development, with GIPE department as a case study for the project.

This questionnaire is addressed to All GIPE staff and/or those familiar with RBM practices in public sector. The information collected will strictly be confidential. The survey data will be reported in a summary fashion only.

Kindly tick where appropriate

Kindly enter job position

Length of service

1=Strongly disagree, 2= Disagree, 3=Neutral, 4= Agree, 5=Strongly agree


No	Components	1	2	3	4	5
A	Results-based planning					
1	Links among levels of outcomes from national down to functional level are defined.					
2	Indicators and targeted goals are specified for each level of outcome SMART?					
3	Planning targets are in line with available budgets.					
B	Results-based budgeting					
1	The budget is backed by the planned priorities i.e., outcomes and outputs.					

2	The budget procedure allows for effective and efficient prioritization of resources.					
3	Budgets have a medium-term horizon connected to plans and budgetary targeted goals.					
4	Financial management reporting, tracking and dissemination practices for budget implementation are established.					
C	Results-based implementation					
1	The organizations priorities are in line with budget deliverables.					
2	Processes and policies are oriented to deliver envisioned outcomes.					
3	Incentives are in place to motivate people and align their behaviours towards delivering expected outcomes.					
4	Service delivery standards are well-established.					
D	Results-based monitoring					
1	Indicators are frequently checked/monitored?					
2	Organizational duties towards assimilating monitoring into agency and ministerial functions are well-defined.					
3	Reporting, analysis, data processing and dissemination procedures are specified.					
4	Information from monitoring is utilized to improve policy, programme, project design and management.					
E	Results-based evaluation					
1	The evaluation methodology uses indicators from planning.					
2	The evaluation methodology uses results information obtained from monitoring exercises.					
3	Organizational duties are well-defined.					
4	The system permits for independent audits/evaluation.					
5	The dissemination methodology and stakeholder engagement has been formulated.					
F	Interdependency					
	Planning–Budgeting					
1	The planning process sets priorities for the budget.					
2	The budget aligns to the planned goals.					
	Budgeting–Implementation					
3	The budget defines final service delivery outputs.					
4	Services are delivered as per the planned budgets.					

	Implementation–Monitoring				
5	Measurable performance indicators promote results monitoring of service delivery.				
6	Monitoring systems enhance service delivery.				
	Monitoring–Evaluation				
7	The monitoring system gives data for evaluation.				
8	Evaluation measures monitored results attained.				
	Evaluation–Planning				
9	Evaluations inform subsequent plans.				
10	Planning outcomes take into consideration information from evaluation.				
G	Horizontal and Vertical Integration				
	Horizontal				
1	National development goals are converted into specific agency preferences.				
2	Organizational duties are defined jointly with sector line ministries in charge of attaining results through effective cooperation.				
	Vertical				
3	Development targets are interpreted and flows down to all levels of government.				
4	Organizational duties are specified, with all the levels of government that contribute to delivering a mutual set of development outcomes.				


Thank you for your participation!

APPENDIX II: NACOSTI Research Permit



REPUBLIC OF KENYA


Ref No: 183204



**NATIONAL COMMISSION FOR
SCIENCE, TECHNOLOGY & INNOVATION.**

Date of Issue: 24/February/2023

RESEARCH LICENSE




This is to Certify that Miss. Jacqueline Migai of University of Nairobi, has been licensed to conduct research as per the provision of the Science, Technology and Innovation Act, 2013 (Rev.2014) in Nairobi on the topic: An Assessment of the Implementation of Results Based Management Approach in the Public Sector. A Case Study of The National Treasury, Department of Government Investments and Public Enterprises, for the period ending : 24/February/2024.

License No: NACOSTI/P/23/23844

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APPENDIX III: Introduction Letter by PSRI to The National Treasury



UNIVERSITY OF NAIROBI

DEPARTMENT OF GEOGRAPHY, POPULATION AND ENVIRONMENTAL STUDIES

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P.O. BOX 30197-
NAIROBI
KENYA

*R.M.
let her come
on Monday
week
09/01/23*

30 January, 2023

D/G.I.P.E.

The Principal Secretary,
The National Treasury and Economic Planning,
Treasury House
P.O BOX 30007-00100,
NAIROBI

Att: Director General,
Public Investment & Portfolio Management.

Dear Sir/Madam,

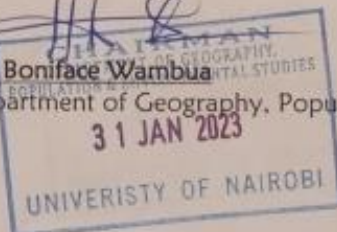
JACQUELINE ADHIAMBO MIGAI - Q51/34598/2019

This is to confirm that the above named is a Master of Arts student pursuing Masters in **Monitoring and Evaluation for Population and Development Programmes** in the Department of Geography, Population and Environmental Studies in the University of Nairobi.

She is currently undertaking research project titled: "Assessment of the Implementation of Results Based Management Approach in the Public Sector. "A Case of the National Treasury, Department of Government Investments and Public Enterprises".

Any assistance accorded to her will be highly appreciated.

[Signature]
Dr. Boniface Wambua
Department of Geography, Population & Environmental Studies



APPENDIX IV: The GIPE Memo to All Staff Authorizing Data Collection



GOVERNMENT INVESTMENTS AND PUBLIC ENTERPRISES

INTERNAL MEMO

Ref: DGIPE/A/1/10

DATE : February 16, 2022

TO : All GIPE Technical Staff

Ref: Jacqueline Adhiambo Migai-Q51/34598/2019

The above-named is a student of the University of Nairobi pursuing a Masters in Monitoring and Evaluation of Population and Development Programmes.

As per her study, she is undertaking a research project titled: **“An Assessment of the Implementation of Results Based Management Approach in the Public Sector: A Case Study of The National Treasury, Department of Government Investments and Public Enterprises”**. This is to enable her fulfill the requirements for the award of a Master’s degree.

Participation consists of one interview conducted through an individual questionnaire lasting approximately 10 minutes. It is expected that the study will take place from February 20th to February 24th 2023. In this regard, she would like to fill the questionnaires with the assistance of GIPE staff.

This MEMO therefore, is to request that you accord her utmost support/assistance.

Thank you.



Michael A. Kagika, EBS

Ag. DIRECTOR GENERAL PUBLIC INVESTMENTS AND PUBLIC ENTERPRISES

APPENDIX V: List of Reviewed Documents

1. Kenya National Monitoring and Evaluation Policy 2022
2. The National Treasury and Planning Strategic Plan 2018/19-2022/23
3. Project Monitoring, Evaluation and Reporting Manual 2021
4. The Public Finance Management Act 2012
5. MTP III Indicator Handbook 2019
6. National Treasury Circular No. 16/2019
7. Performance Contracts
8. National Treasury Circular No. 01/2022
9. Economic Project Appraisal Manual for Kenya 2021
10. Draft PIMIS User Requirement Study Report 2021
11. GIPE Monitoring and Supervision Division's Workplans 2019/20
12. International Monetary Fund-Kenya, 1KENEA2023001_IMF Country Report No. 23/266