AN ASSESSMENT OF THE MONITORING AND EVALUATION SYSTEM OF KENYA FORESTRY AND RESEARCH INSTITUTE

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DECLARATION

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

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Supervisor: Dr. George Odipo

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DEDICATION

I dedicate this work to my family, whose persistence on the importance of education from a tender age has pushed me this far.

ACKNOWLEDGMENT

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LIST OF ACRONYMS AND ABBREVIATIONS

AU   African Union

KEFRI   Kenya Forestry Research Institute

M&E   Monitoring and Evaluation

MDGs   Millennium Development Goals

MECAT   Monitoring and Evaluation Capacity Assessment Tool

MERG   Monitoring and Evaluation and Reference Group (UNAIDS)

NGOs   Non-Governmental Organizations

OECD   Organization for Economic Co-operation and Development

PRSPs   Poverty Reduction Strategies

RBM   Results Based Management

SDGs   Sustainable development Goals

SWAPs   Sector Wide Approaches

UN   United Nations

UNAIDS   United Nation AID

WHO   World Health Organization

ABSTRACT

According to the KEFRI strategic plan weak monitoring and evaluation system was highlighted as one of the weaknesses of the organisation. Therefore, the purpose of this study was to; establish if there are structures for people, partnership and planning for KEFRI M&E system, review mechanisms for data management processes at KEFRI and establish if there is evidence of dissemination and use of data from the KEFRI M&E system in decision making. The assessment of this M&E System adopted the 12 components that were interrelated and which are divided into three categories. The study employed a descriptive case study design to assess the M&E Systems of KEFRI. This study utilized a purposive sampling approach. Data was collected through administering of questionnaires. Each of the 12 components was analyzed independently based on the performance of their respective elements identified and an average of each obtained to determine the total system performance. After the assessment KEFRI had an average score of 68 percentage. The Costed work plan component scored the highest at 84 percent while data demand and use attained the lowest score at 52 percent. The key strengths of KEFRI M&E system include: strong M&E partnerships, costed work plans, continuous communication and advocacy to improve programme. Key gaps that were identified include: inadequate staff with the required knowledge and skills in M&E, documentation of M&E procedures, inadequate evaluation and research capacity of M&E staff, corrections are not made after data quality assessments. The recommendations made were that to have a fully functional M&E systems, program and M&E managers should ensure that their M&E system meet the conventional M&E system requirements. Further, they should avail frameworks to support M&E systems; through employing M&E systems' quality management practices and providing structures for assessing the crucial M&E system components as prescribed by Monitoring and Evaluation Reference Group (MERG).

CHAPTER ONE: INTRODUCTION

1.1 Background of the study

One of the most important tools for management and making decisions in an organisation is monitoring and evaluation. While working on a donor funded program, monitoring and evaluation always has to be involved. This is done to ensure that we have efficient programs that will be of use to the community. (World Bank, 2007)

The planned and systematic process that observes and follows the activities of a program is what is referred to as monitoring. When a program is complete, the achievements are assessed in the process known as evaluation (Andrea, 2008, et al)

Over the recent years M&E has become an essential tool when it comes to programmes achieving their environmental and social sustainability. M&E has become key when it comes to defining and reporting on the ecological aspects and also on tracking the progress that is towards the already set goals (Gyorkos T. 2003).

The M&E frameworks are common discussion when it comes to this topic of M&E. The practices that enable a systematic and proper use of M&E is what is known as the M&E framework (Nigel, 2009).

 A good M&E system helps identify promising interventions early so that they can potentially be implemented elsewhere. Having data available about how well a particular project, practice, program, or policy works, it provides useful information for formulating and justifying budget requests. It also allows judicious allocation of scarce resources to the interventions that will provide the greatest benefit.

When you have an M&E system that properly describes the data collection methodology, the use of the data, the data type and the frequency of the data then you are assured that you have a good M&E design.

A report (UNDP 2002) argues that that there has been growing demand for the development of effectiveness to improve people's lives. This calls for effective utilization of monitoring and evaluation results for continuous improvement and quality of

performance in organization. Similarly as a result of increased globalization, government and organizations around the world have been more responsive to the demands of internal and external stakeholders for good governance, accountability, transparency and greater development effectiveness (Hiller, 2002; Kusek and Rist, 2001).

Such growing demands calls for enhanced monitoring and evaluation of policies, structures and frameworks for programmes and projects (Binnendijk, 1999). Building a resulted based M&E system is therefore an essential tool for the growing pressure to improve performance and donors to check on the effective use of the donor funds, impact and benefits brought by the projects.

When millennium Development Goals (MDGs), which came into play in the 2000s, it further embraced the idea of monitoring and evaluation The MDG objectives were translated into a set of indicators that could measure progress. In the recent past, there has been much focus on results based approach which has some elements of monitoring and evaluation, for example reducing poverty and improving living standards of people (Creswell, 2009).

1.2 Kenya Forestry and Research Institute M&E System

Kenya Forestry Research Institute (KEFRI) as a state corporation was established in 1986, under the Science and Technology Act (Cap 250) of the Laws of Kenya. The Act has since been repealed by the Science, Technology and Innovation (STI) Act No. 28 of 2013. The Institute is under the Environmental Protection, Water and Natural Resources Sector, and undertakes research to generate and promote improved technologies for sustainable management, conservation and development of forests and allied natural resources. KEFRI is accountable for the forestry and other related natural resources research in the country and in this regard, KEFRI manages the national forestry M&E system and is tasked to ensure that system functions well. In the year 2002, KEFRI was established and its sole purpose was to collect information and support conservation for development activities and development of natural resources in Kenya.

The KEFRI M&E system was established in 2002 and since then it has made progress in fields such as research, support and development programmes. This achievement have been made possible through the coordination of the M&E department.

The human capacity for M&E at KEFRI has also been found to be below the required international standard according to the strategic plan (2013- 2018) but on the positive for the few staff that were available they were well developed through trainings and other capacity building initiatives. The M&E component of evaluation and research was also found to be strong at KEFRI M&E system, this was important as it assisted in providing success stories to all the involved stakeholders. Another achievement was the data dissemination and use at KEFRI; the results of both monitoring and evaluation outputs needed to be shared out to the relevant stakeholders for accountability purposes. The dissemination plan was found to be in the M&E plan and also in the work plan.

The strategic plan that was developed by KEFRI has to be on course and this has been made possible by use of the M&E management tool. Monitoring and evaluation helps in measuring progress and also flaws that need to be adjusted in any programme. Midterm and end plan reviews are done so that they can identify if the intended results at the strategic plan are on-course. According to the strategic plan (2013- 2018) the M&E process should happen at the board of directors, management and functional levels.

Also according to the strategic plan (2013- 2018) the Surveys and surveillance component was found to be very weak since there should be at least bi-annual surveys conducted but this was found not to be happening due to various challenges at KEFRI. The M&E system was also found to lack supportive supervision and data auditing that helps to ensure that the data is subjected to verification to ensure validity. The M&E framework at KEFRI that was meant to outline the objectives, inputs, outputs and outcomes was found to be weak since the indicators developed were not strong hence the objectives were not well linked with the project processes. Since its establishment, the KEFRI M&E system has only been assessed once.

This assessment conducted a comprehensive analysis at KEFRI to better understand the status of the system in reporting the progress of forestry and allied natural resources interventions in Kenya. Comprehensive assessment of M&E system has been recommended as necessary by different authors, if the system is to report on results that can be used to improve continuous programme performance (World Bank, 2009; Kusek & Rist, 2004; Mayne, 2010).

1.3 Problem Statement

According to KEFRI'S strategic plan, weak Monitoring and Evaluation was highlighted as one of the weaknesses of the organisation. Assessing an existing M&E system is deemed vital as it ensures the systems are improved time after time. (World Bank, 2009; UNAIDS, 2009a and Global Fund et al., 2006).

When a SWOT and PESTLEG analysis was conducted at KEFRI, the situation revealed that the monitoring and evaluation systems was weak and hence made it difficult to measure performance against set targets. Measurement of M&E system's reinforcement efforts has over time proven difficult from the political and technical perspectives, thus most organization steer clear of initiatives to assess their systems (Porter et al., 2012).

Over a long period KEFRI has been implementing M&E system in its programmes, no comprehensive assessment has been conducted on the system. The assessment conducted in 2008 as noted earlier was a piecemeal since it had limited focus on capacity in relation to seven other components while ignoring five other components which are important in functioning of the KEFRI M&E system. A comprehensive assessment of an M&E system is recommended as necessary and it should be conducted within a period of 2-3 years, so to make sure that changes can be made on each component for better functionality of the system (World Bank, 2007; 2013) and this has not been done at KEFRI. This study thus sought to fill this gap by conducting a comprehensive valuation of the KEFRI M&E system to understand if there are appropriate structures for people partnership and planning, together with clear data management processes that produce evidence and research findings for forests and other related natural resources interventions in Kenya.

1.4 Research Question

The research question for my study was to determine;

To what extent does the M&E system of KEFRI meet established M&E standards?

1.5 Research Objectives of the study

The **general objective** of this study was to determine the extent to which the M&E system at KEFRI meets the set out standards of a functional M&E system.

Specific objectives:

1. To establish if there are structures of people, partnership and planning for the KEFRI M&E system.
2. Determine the extent to which data management of KEFRI system is within the set M&E standards
3. To identify if M&E data is utilized by KEFRI for decision making.

1.6 Justification

Assessment of the KEFRI M&E system was important in determining if the system conforms to international standards set for formulation of M&E systems, document challenges that can be used to make recommendations on improved performance (World Bank, 2009). Given the important role that M&E systems play in programme implementation, keen interest has been developed by stakeholders to regularly assess how the M&E systems are functioning and operating. When M&E systems are strengthened, they lead to positive development outcomes; in the same light, poorly developed M&E systems lead to poor development outcomes (Thomas, 2010). This manifests the linkage between M&E and success of development programmes. M&E is a critical component in determining the success of any development initiative and has gained prominence of the last decade due to the ever expanding role of NGOs in the development agenda.

Findings from this study have added to the existing body of knowledge in the management and monitoring of natural resources like forests while the recommendations will be useful in strengthening the KEFRI monitoring and evaluation system and other systems being used by different organizations.

1.7 Scope and Limitations of the Study

This study focused on the KEFRI M&E system and how it affects performance of the programme. Assessment of the M&E system can cover more partners and organizations to give much wider picture on status of the system which would eventually cause resource constraints and limitation of time, the study was also limited to KEFRI headquarters and Karura staff who could not give a broad explanation beyond the organization's M&E system performance. The study culminated as to why assessment of M&E systems is important and why it should be conducted regularly within programmes using M&E systems. Because of the nature of the assessment and the kind of the design used, the findings of this study were not generalized to other context. Moreover, findings from the study were mostly qualitative which cannot be generalized to other contexts. All the 12 components were assessed.

CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

The literature review chapter covers the evolution of the conceptualization and the components of M&E systems which goes an extra mile in explaining what constitutes to a well-functioning M&E system. This chapter also reviews relevant past literature on M&E systems. The chapter has a particular focus on importance of M&E systems, the systems approach to M&E and assessment of M&E systems. It goes further to provide conceptual and operational frameworks of this study.

2.2 Evolution of the Conceptualization of Monitoring and Evaluation System

Monitoring and evaluation systems has evolved overtime as an important tool of management. History of M&E systems can be drawn back to (3000 BC) when Egyptians from time to time used monitoring approaches to track their outputs in grain and livestock production (Kusek and Rist, 2004). These methods were regarded as traditional because of its less focus and emphasis on the results. In the period of 1970s M&E was project based and focus was on inputs and outputs with less emphasize on results. The Sector Wide Approaches (SWAPS) was the main focus in the 1980s where M&E activities were moving from the project to sector level. In the period of 1990s, there was shift of focus to Poverty reduction strategies (PRSPS), this changed the focus from monitoring of inputs and outputs to the measurement of the "results" (Mark, et al., 2000; World Bank, 2009).

Millennium Development Goals (MDGs) which came into play in the period 2000s further embraced the idea of monitoring and evaluation systems. The MDG targets were translated into a set of indicators that could measure progress. In the recent past there has been much focus on results based approach which has some elements of monitoring and evaluation, for example reducing poverty and improving on living standards of people (Zhou & Hardlife, 2013). Monitoring and evaluation systems thus can be seen to have roots in results-based management approaches. Kusek & Rist (2004) notes that results based approach uses both the traditional 8 approaches to M&E, at the same time allowing measurements of results. The focus on results can be termed as the M&E systems and has

gained popularity among many organizations around the world (Kusek & Göergens, 2009).

2.3 The need of an M&E systems

Kenya's Government agencies such as KEFRI major challenge is to become more effective. For an organisation in the public sector M&E can be used to improve its performance and also its service delivery. M&E is a process that helps the users draw relationships between policy priorities, how to get resources for those policies, the programmes objectives and finally the impact that those programmes will have on the community. For the best audit base on how resources were allocated to a certain programme M&E will always come in-handy and also when it comes to identifying the challenges encountered and the achievements made. However the discipline of M&E is complex and also requires resourceful persons when it comes to their skills. This is particularly the case in the government agencies since it is required that one understands the multi-sectoral interactions from the planning, budgeting and implementation stages. This becomes more complicated when now dealing with the decentralized governments where powers and responsibilities are distributed. This complicated government structures need a strong M&E system which will improve efficiency and promote coordination (Republic of South Africa, 2007)

2.4 Systems Approach to Monitoring and Evaluation System

It is important to apply a systems lens to monitoring and evaluating the scale-up process and for maintaining a focus on sustained availability of quality programs over time (Igras, et al., 2014). Applying systems approach to M&E requires identification of the interrelated system components and ensuring that each component is functional to ensure the whole system is functional (Kusek & Görgens, 2009). In the systems approach M&E process is seen iterative, where information gained in the latter steps can be used to go back and improve program responses in earlier steps (Reynolds & Sutherland, 2013). Also Programs are planned using data, and the data collected are informed by program plans. To effectively implement M&E, the systems elements that need to be addressed are human resources, information systems, capacity building, decision making processes,

and finances in addition to the M&E plan which covers objectives, indicators, data sources, plans for data collection, analysis, reporting and usage of the information.

2.5 The Components of a Monitoring and Evaluation System

Using the system approach to M&E described above, UNAIDS (2009a) developed a tool to assess monitoring and evaluation systems for HIV in nation-states under the UNAIDS. This toolkit outlines 12 key components that are dire in a system for a HIV related activities in a country. The components are alive and apply to other development programs hence key in assessment of any development programmes monitoring and evaluation systems. According to UNAIDS, there are twelve key components that are necessary so that we can have a functional M&E system. UNAIDS has categorized the components into 3 subsets as outlined in the figure below. The inner most layer mainly touches on utilization of information whereas the outer layer is on assessing the human resources capacity, partnerships for M&E and planning processes for M&E. The middle ring concentrates on components to do with data and information management.

Figure 2.1: Components of a Monitoring and Evaluation System

Source: (UNAIDS, 2009)

UNAIDS (2009), developed a participatory assessment tool that was more focused on programmes with an aim of improving the quality and effectiveness of programmes M&E systems. The Assessment tool focuses on the twelve components of a National M&E system. The twelve components that are used by the UNAIDS (2009) toolkit have been discussed below;

2.5.1 The Organizational Structures Component

For effective implementation of the M&E activities in any organisation there is need for a department whose sole responsibility is to deal with and coordinate all the M&E related functions. Different organisation have different ways of dealing with this, while some have an internal department others prefer to outsource this function. The organizational structures component emphasizes on the need to have this function in the organisation and have it aligned to the organization's hierarchy so that it can support all the M&E functions of the organisation.

2.5.2 The Human Capacity for M&E Component

To have an effective M&E implementation there is need to have adequate number of staff and also they need to be skillful on how to carry out their duties effectively. Therefore the main emphasis of this component is to ensure there is enough staff in the M&E department and that also there are skilled and finally their capacity is built from time to time for the to keep abreast with the emerging trends in M&E.

2.5.3 Partnerships for Planning, Coordinating and Managing the M&E System

There is need to have M&E partnerships in an organisation for there to be a successful M&E system at the national level. The partnerships are essential since they help compliment the M&E efforts being made by the organisation and also help in focusing the M&E functions to the intended objectives. The partnerships also help in auditing purposes with the government ministries, TWGS, and any other stakeholders.

2.5.4 M&E frameworks/Logical Framework Component

The objectives, inputs, outputs and outcomes of a project are outlined by the M&E frameworks the indicators are also included at this component. Therefore this component is essential since the M&E personnel to link the objectives with the activities and finally know what to measure and how to measure it.

2.5.5 The M&E Work Plan and costs Component

The M&E work plan and costs component closely relates to the M&E frameworks. This component helps to explain how the allocated resources will be used to achieve the M&E objectives. The resources include; time, money, personnel and money.

2.5.6 Communication, Advocacy and Culture for M&E

This component focuses on the communication and advocacy initiatives that have been outlined to assist in promoting the M&E functions in the organisation. This component assists in making sure that the culture of practicing M&E is entrenched in the organization's culture. An organisation with an M&E policy and advocates for continuous use communication channels available helps in improving communication, advocacy and the M&E culture to all the relevant stakeholders.

2.5.7 Routine Programme Monitoring

The routine programme component emphasizes on the monitoring aspect of M&E. monitoring is usually referred to as the continuous and routine data collection process that happens during a project implementation. It is important for data to be collected and reported continuously so as to show how the project activities are working towards achieving the set objectives. Further the activities need to be integrated for routine gathering and analysis.

2.5.8 Surveys and Surveillance

The surveys and surveillance component basically entails how often national surveys are conducted. This national surveys need be frequently done so that they can be used in evaluating the progress of the projects.

2.5.9 National and Sub-national databases

This component focuses on the fact that there is a huge need for M&E data to be made available and there to be an open-source. Therefore the M&E systems need to come up with ways that will enhance submission of relevant, reliable and valid data to the national and sub-national databases.

2.6 Supportive Supervision and Data Auditing

For an M&E system to be effective there is need to carry out supportive supervision and data auditing. The supportive and supervision aspect means that someone can be able to regularly supervise the M&E processes in a manner that and offer suggestions for improvement. The process of auditing data is usually done so as to make sure that the data is reliable and valid. The supportive and supervision aspect is also important since it helps in ensuring that the M&E processes are run efficiently.

2.7 Evaluation and Research

Research and evaluation are one of the most crucial aspects of M&E. evaluation is usually done either at the mid-term or at the end of a project. The evaluation aspect is very important as it enhances that the project meets the desired goals of the project.

2.8 Data Dissemination and Use

During the process of project implementation there is information that is gathered and it should be used in the future for contributing to the existing strategies or in the making of new strategies. Also all the results that are gathered after implementation need to be shared to all the stakeholders involved. Therefore, an information dissemination plan must be in place, either through the M&E plan or through the work plan.

2.9 Conceptual Framework

The conceptual framework that was used for this study was based on the UNAIDS framework for a well-functioning national HIV monitoring and evaluation system. The UNAIDS assessment tool was selected since it assesses all the 12 components and since the KEFRI M&E systems is hinged to the National Integrated Monitoring and Evaluation

systems. The UNAIDS frameworks for a functioning Monitoring and Evaluation systems was preferable for this study as opposed to using other frameworks such as (FHI 360, 2013) which assesses only eight components. The conceptual framework used has been shown below;

Figure 2.2: Conceptual Framework

Source: Adopted from UNAIDS 2009

2.10 Operational Framework

The framework of the 12 components by (UNAIDS, 2008) is helpful in appraising the status of an organization's M&E system through; measuring methodically the status of every component of the organization's M&E system against certain established standards/indicators (World Bank, 2009).

This assessment operationalized the standard 12 component M&E system adopted by Karawita et al., (2016), being that it provides a logical standard for each of the 12 components unlike the (FHI 360, 2013) and (USAID, 2010) assessment tools that focused on 8 and 7 domains respectively. The operational framework has been described and illustrated below for each component with its operational indicators accordingly;

Table 2.1: Operationalization Summary for12components of KEFRI M&E system

Component	Operational Indicators
1. Organizational structures with KEFRI Monitoring and Evaluation functions	▪ Existence of an M&E Unit ▪ Adequate number of skilled M&E personnel at least 7 ▪ Defined career path for M&E personnel M&E ▪ Well defined job descriptions for M&E ▪ Effective leadership for M&E ▪ M&E personnel management and running the M&E system ▪ Effective leadership for M&E
2. Human Capacity for Multi-Sector KEFRI Monitoring and Evaluation	☐ Human capacity assessment within the organization ☐ Defined skillsets for M&E personnel ☐ Human capacity development plan ☐ Supervision for M&E personnel as a service meant to build capacity of staff.
3. Partnerships to Plan, Coordinate and Manage the Multi-Sector KEFRI Monitoring and Evaluation System.	☐ Inventory of all M&E partners ☐ Availability of mechanism for coordination among partners ☐ Participation in the national M&E technical working group
4. National, Multi-Sector KEFRI Monitoring and Evaluation Plan.	☐ Is there an M&E plan. ☐ Development of the plan involved relevant stakeholders ☐ Revision of the M&E plan based on reviews and assessment of the M&E system ☐ The M&E plan meets international standards. ☐ M&E plan has budget estimates for activities
5. Costed, National, Multi-sector KEFRI Monitoring and Evaluation Work Plan	☐ The M&E work plan has costed activities with implementers for each activity ☐ Resources are mobilized for implementing activities ☐ The M&E work plan is updated annually or periodically

6.	Communication, Advocacy and Culture for KEFRI Monitoring and Evaluation	☐ Policies and planning of programmes is guided by M&E ☐ Advocacy activities for M&E are planned, targeted and structured ☐ Availability of M&E communication and advocacy plan ☐ M&E champions who support use of M&E systems
7.	Routine KEFRI Programme Monitoring.	☐ Existence of routine data monitoring forms and procedures guiding the process. ☐ Well defined data management processes
8.	Surveys and Surveillance	☐ Inventory of surveys completed ☐ Specific schedule for future surveys ☐ Protocols for surveys should meet international standards.
9.	National and Sub-National KEFRI Databases.	☐ Well managed databases to provide information for decision making ☐ The databases should be well inked.
10.	Supportive Supervision and Data Auditing	☐ Availability if guidelines for supportive supervision ☐ Data auditing protocols are followed
11.	Evaluation and research	▪ Existence of a national Evaluation and Research Agenda ▪ updated national Evaluation and Research Agenda and its use ▪ Availability of the inventory of research and evaluations reports
12	Data demand and Use	▪ Existence of a data use plan ▪ The data use plan is embedded in the strategic and M&E plan ▪ Dissemination of data to stakeholders ▪ Information products contribute to policy and practices of KEFRI.

Source UNAIDS (2009)

CHAPTER THREE: THE RESEARCH METHODOLOGY

3.1 Introduction

This section is divided into sections which include; research design, study area, sampling procedures, data collection and data analysis. The chapter starts by describing the study design that was used why it was chosen, sampling of respondents, methods that were used in data collection and it ends with a section on data analysis.

3.2 Research Design

A descriptive case study design was used to assess the M&E Systems of KEFRI. This method of research is usually used to obtain information in regard to the current situation and also used to describe that situation in regard to the existing conditions. The process of collecting data so that you can test a hypothesis and answer questions about the current status of the subject on study is what Gay, (1981) defined as descriptive statistics. Mugenda and Mugenda, (2003) said that the purpose of this design is to determine and report the situation of things and attempt to explain their behaviors and characteristics. Therefore, you will be using a descriptive case study to try and figure out the relationship of different phenomena over a period of time (Yin 2003)

Hence, descriptive case research design will be used since it enabled the description of the M&E System at KEFRI

3.3 Study Area

This study was conducted at the KEFRI headquarters at Muguga and at its national center in Karura. The two areas of the study were chosen mainly because they host almost 80% of all KEFRI projects and are the point of convergence, also policies and procedures are designed at the head office and the same communicated to the service delivery sites. Selection of this locations was also guided by proximity, resources and time constraints.

3.4 Sampling Procedure and Population

The sample of sites and respondents was purposively sampled. These will include KEFRI headquarters in Muguga and KEFRI regional center in Karura. The reason for using

purposive sampling procedure since m study was on the basis of areas with high volume data and priority. This has also been recommended by the FHI 360 (2013) when assessing an M&E system.

This study selected 21 respondents who included 2 regional directors, 2 M&E department employees, 8 scientific/research staff, 5 technical staff (GIS, laboratory, etc.) and 4 professional support staff. The rationale for the sampling design was to get a unit where data will be collected which will help the study to realize its research objectives and answer the research questions. In order to understand how KEFRI M&E system functions and how the assessment will assess

Various sub-systems from various organizations, link and interact with the main system at KEFRI.

3.5 Methods and tools for Data Collection

Primary and secondary data sources were used for this study.

Questionnaires were administered to the key respondents for the primary data source. This questionnaires were designed based on the set standards of a good M&E system adopted from UNAIDS (2009).

The secondary data was collected from document reviews on M&E plans, M&E frameworks, strategic plans, minutes from meetings and workshops, and annual reports. The document review guide will adopt the UNAIDS (2009).

3.6 Measurement of Variables

The monitoring and evaluation system assessment tool broke down each domain into standards. Each standard was scored according to information gathered during the administering of questionnaires and document reviews. The average score for each variable is the average of its associated questions from the component. To calculate a score for this variable, we shall convert the text scores to numerical values using a coding scale. That is:

4point scale - (strongly disagree-1, Disagree-2, Agree-3, Strongly Agree)

3 point scale – (1.Not all, 2. Yes partly, 3. Yes completely)

2   point scale – (1. Yes, 2. No)

3.5 Methods of Data Analysis

Data analysis is the process of converting raw data into useful information. Descriptive statistics was used to analyze data, to calculate frequencies, means and percentages.

The need to have yes-completely and yes is informed by the fact that there are standards that are implemented in phases thus they can either be scored as yes completely or mostly and so on, where as there are standards that either exist or don't exist thus creating the dichotomy between yes- completely and yes.

Where:

- If a frequency is specified for every indicator, the answer is "Yes-completely"
- If at least 75 percent but less than 100 percent of indicators, the answer should be "Mostly"
- If for at least 50 percent but less than 75 percent of indicators then score "Partly"
- If there is no indicators are indicated, then "No-not at all" is picked as the response.
- Where a standard is irrelevant, "Not Applicable/N/A" is scored.

Depending on type of question, the respondents were expected to select the appropriate response from the given options. The response scales were computed against the total number of responses available for that component to give a reflection of its performance expressed as a percentage.

The Actual total score = the sum of all the responses given for each question by all the respondents. E.g. for the org structure component (26+44+33+39+43= 185)

The expected maximum Score = the sum of all the (maximum expected code multiply by the no. of respondents) e.g. for the org structure component $\{(16*2) + (16*4) + (16*4) + (16*4) + (16*4)\} = 288$

Component percentage = the total Actual score divide by the total expected maximum score then multiply by 100. E.g. 185/288* 100 = 64%

3.8 Ethical Considerations

Approval shall besought from the management of KEFRI to conduct the study among its staff. The researcher through introductory statements ensured that the respondents were briefed on the components of my research and only administered them after there was consent. The data collected was only used for the study purpose and has since then been treated with confidentiality with non-exposure to unauthorized persons. The respondents were promised that the information gathered was in confidence and only for this academic reasons only. Any information that will be likely to reveal the identity of individuals who are the subjects of the research shall be encrypted.

CHAPTER FOUR
STATUS OF THE MONITORING AND EVALUATION SYSTEM AT KEFRI

4.1. Introduction

The findings, analysis and interpretation of the results were done in this section. The study was carried out to establish the conformity of the KEFRI system to the conventional M&E system requirements. More specifically the study sought to establish structures put in place for the people, partnerships and planning by KEFRI'S M&E system, establish if KEFRI'S M&E system has mechanisms through which data is collected, captured and verified and finally determine if the KEFRI M&E system has a provision for enhanced data use for decision making.

Interpretation of the results was based on the 'third one' segregation of the M&E system components by (UNAIDS, 2008); the Outer ring, middle ring and the center ring.

4.2. Characteristics of the respondents

From the 21 questionnaires administered, 16 were filled and returned, which represented a response rate of 77% the ratio being 63% male and 38% female. The variance of the 5 questionnaires that were not filled and returned was due to some respondents going on leave and others travelling out of the country and, therefore, not able to respond in time for the analysis however they were already represented by other respondents who came from the same department and level of management. Mugenda and Mugenda (2003) stated that a response rate above 50% is adequate for analysis and reporting; a rate of 60% good and a response rate of 70% and over is excellent, therefore the study had an excellent response. This was brought about by excellent data collection procedures used where the researcher pre-notified the potential respondents and applied the drop and pick method to allow the respondents ample time to fill the questionnaires.

The assessment at KEFRI was conducted on a sample size of 21, however the total number of respondents was16 which was the main focus of the assessment was on level

of education, years of experience, job designation and the training of the M&E staff at KEFRI.

Table 4.1 Characteristics of respondents

Demographic data			
		Number of responses	**Percentage %**
sex	Male	10	63
	Female	6	38
Level of Education	Secondary	1	6
	Diploma	2	13
	Graduate	5	31
	Postgraduate	8	50
Years of Experience	less than 1 year	2	13
	1 - 10 years	7	44
	11- 20 years	5	31
	above 20 years	2	13
Job Designation	chief Research officers	2	13
	Scientific compliance officer	2	13
	Research Scientists	6	38
	Administrative support	4	25
	Monitoring and evaluation officer	2	13
Training in M&E	Yes	5	31
	No	11	69

4.3. KEFRI M&E System Status

The figure below4.1 shows a summary of the assessment's scores from which the KEFRI M&E system scored 68 percent. This closely compares to the overall score of the FHOK M&E system assessment score of 62 percent (Njoka, 2015). For the KEFRI assessment,

Costed work plan scored the highest at 84 percent whereas data demand and use attained the lowest at 52 percent.
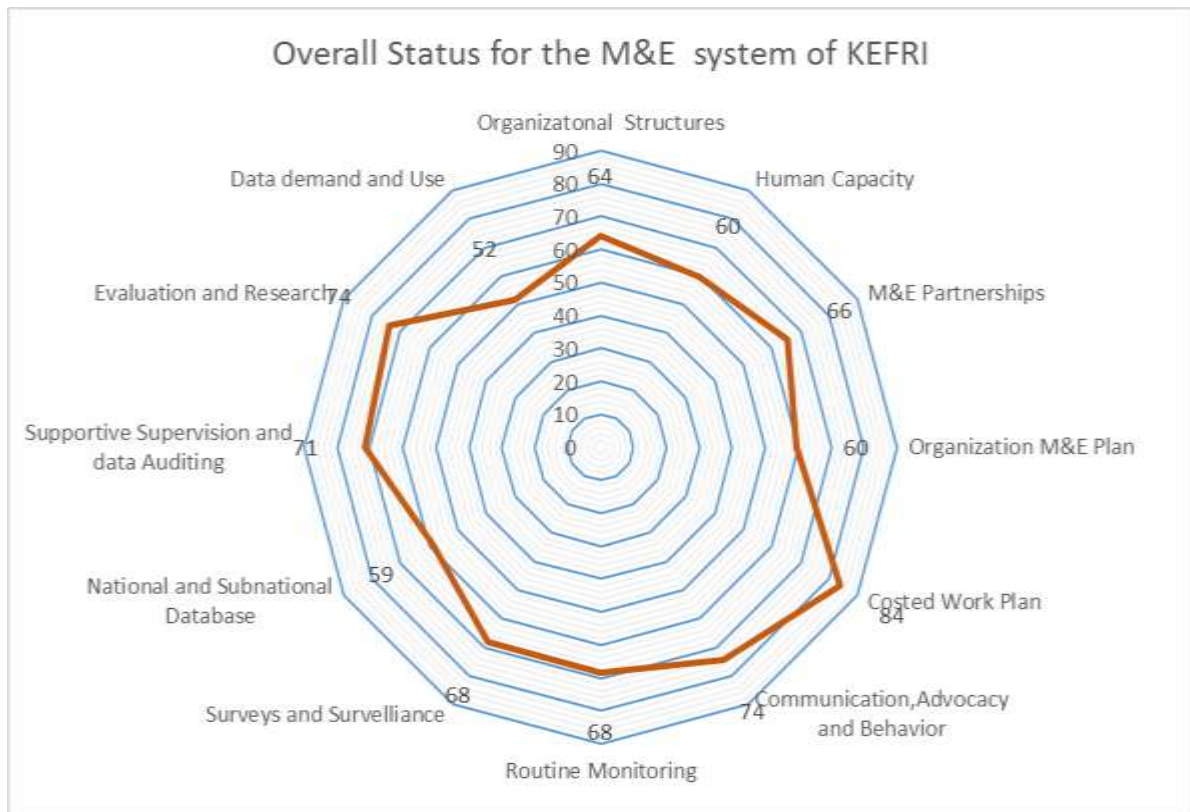
Figure 4.1: Overall status of the M&E system at KEFRI (in percentage)
Source: Author

4.3.1 Structures for People, Partnership and Planning

This section presents the results for the six components in this category of M&E system. Literature on the indicators that have been used for the assessment has been presented in chapter two. Components making up this category include: organizational structures, human capacity, partnerships to plan, coordinate and manage the multi-sector M&E system, national, multi-sector monitoring and evaluation plan, costed, national, M&E work plan and communication, advocacy and culture for M&E. The results presented includes the analysis of data from the various sources as described in methodology section.

Figure 4.2 below gives a summary of performance for the subset: people, partnerships and planning, from which costed work plan scored the highest at 84 percent and the lowest being organizational M&E work plan and human capacity at 60 percent, overall, this subset attained 68 percent.

Figure 4.2: People, partnerships and planning subset (in percentage)
Source: Author

Organizational Structures: As clearly indicated in figure 4.2 above this component scored 64 percent, from which it emerged that KEFRI has an M&E unit within its technical wing which is not fully equipped with full time employees apart from an M&E manager who has clearly defined roles and responsibilities. KEFRI M&E system has inadequate human resources that are necessary to carry out its mandate. This finding is consistent with findings by similar studies in Kenya which identify existence of monitoring and evaluation units as some of the key strengths of monitoring and

evaluation systems assessed (MEASURE Evaluation, 2010; Ministry of Health Kenya, 2013; Ogungbemi, et al., 2012). In terms of effective leadership and commitment to ensure monitoring and evaluation system work, it was observed that there is leadership at the KEFRI monitoring and evaluation system. Further findings from review of documents reveals that there is secretariat which includes decentralized structures at regional, district and constituency level, which manages day to day functioning of the institution and coordinates the national response to forest management.

Human Capacity: This component scored 60 percent. KEFRI does not have a well-staffed M&E department apart from the M&E manager who has just been recruited and has taken over the duties from the technical department of compliance and the research officers. It was reported that staffing was at 60 percent as seen from the graph where the organization only has four M&E personnel in M&E unit instead of seven as recommended by (Mackay, 2007). The Job descriptions for the existing M&E personnel are well defined though not as explicitly as is expected. During the period of data collection, KEFRI had advertised for various posts most of them being in the monitoring and evaluation department. The M&E personnel and the technical staff were also being enrolled for M&E staff courses from Amref that will assist in building of their capacity. This finding contrasts to what Chisinau (2011) found in the assessment report of HIV/AIDS monitoring and evaluation system in Moldova, where a barrier was noted with limited motivation and professional growth for monitoring and evaluation personnel which discouraged personnel from working hard with possibility of promotion to better job grades (Chisinau, 2011). A number of challenges were noted in this component, one of it being that the organization lacks a standard curriculum that is used to guide capacity building efforts and which can be shared with partner organizations that supplement work of KEFRI. This differs from what was found in a similar assessment of Nigeria HIV monitoring and evaluation system, which found the existence of training curriculum developed to build capacity on monitoring and evaluation (MEASURE Evaluation, 2010).

M&E Partnerships: This component scored 66 percent. This was close to the 68 percent which is the average standard score for this study. It emerged that KEFRI is in M&E technical working group/committee and it also has partners from which they are able to maintain/ observe the M&E standards set by their implementing partners. These findings are similar to what assessment report on Nigeria's HIV monitoring and evaluation found out. The assessment report in Nigeria found existence of a technical working group amongst various partners and partnership was enhanced through joint planning of events like for example joint supervision visits (MEASURE Evaluation, 2010).

M&E Plan*:* The M&E plan component scored 60 percent. KEFRI always makes sure that the technical program managers undertakes some improvement of the existing program plans for M&E, either for its partners or its own this is done to ascertain that it meets the conventional M&E set standards. This finding is inconsistent to what Chisinau (2011) found when he did similar assessment in Moldova where he found limited participation of relevant stakeholders in preparation of monitoring and evaluation plan for the country's HIV monitoring and evaluation system (Chisinau, 2011). In developing the complete plan for M&E, indicators in the M&E plan was verified afore confirmation, compared to national indicators or global standards with program-specific M&E plan(s) being linked to the overall M&E plan.

Costed *M*&E Work Plan: This component scored 84 percent. The KEFRI M&E system has M&E work plans that are costed and are specific to a program and they are usually tied with the actual M&E work plans. This finding is inconsistent with what Chisinau (2011) found in Moldova where his assessment found the missing work plan for the monitoring and evaluation plan, the work plan had understated monitoring and evaluation plans and responsibilities and timelines in implementation of the activities were missing from the monitoring and evaluation plan Findings from the review of documents and discussion with key informants reveals that there is an updated annual national multi-partner costed monitoring and evaluation work plan within KEFRI. I noted that the costed work plans were revised for each quarter based on the performance monitoring. Revision of the annual work plans quarterly ensures that there are sufficient resources that can be

used to coordinate all other components as highlighted in the monitoring and evaluation plan. However, inadequate monitoring and evaluation financing was seen as a challenge facing the monitoring and evaluation unit. It was noted that there was a shortfall from what is recommended UNAIDS (2007), which recommends funding level of the monitoring and evaluation to be at least 10 percent of the total programme funding in order to facilitate effective data collection, collation, analysis, reporting and dissemination (UNAIDS, 2007).

Advocacy, Communication and Culture*:* This component scored 74 percent. To ensure communication and advocacy, information is often requested by KEFRI directors and managers either before or during the implementation process and this hence allows participation of the staff in the process. The KEFRI M&E system does have an explicit structure for distribution of evaluation facts to its recipients. This finding contrasts finding to similar studies in Kenya and Moldova where communication and advocacy plans for the systems assessed was missing (Chisinau, 2011 and MEASURE Evaluation, 2013). During discussion it was revealed that plans are underway to develop better communication strategy to guide the framework so that all stakeholders understand all the documents accordingly.

4.3.2 Data Management
In this subset the KEFRI system scored 68 percent. This section presents the results for the five components. Literature on how the assessment of this component was carried out has been presented in chapter three. Components making up this category include; routine programme monitoring, surveys and surveillance, national and sub-national databases, supportive supervision and data auditing and evaluation and research agenda which forms the last component in this category.
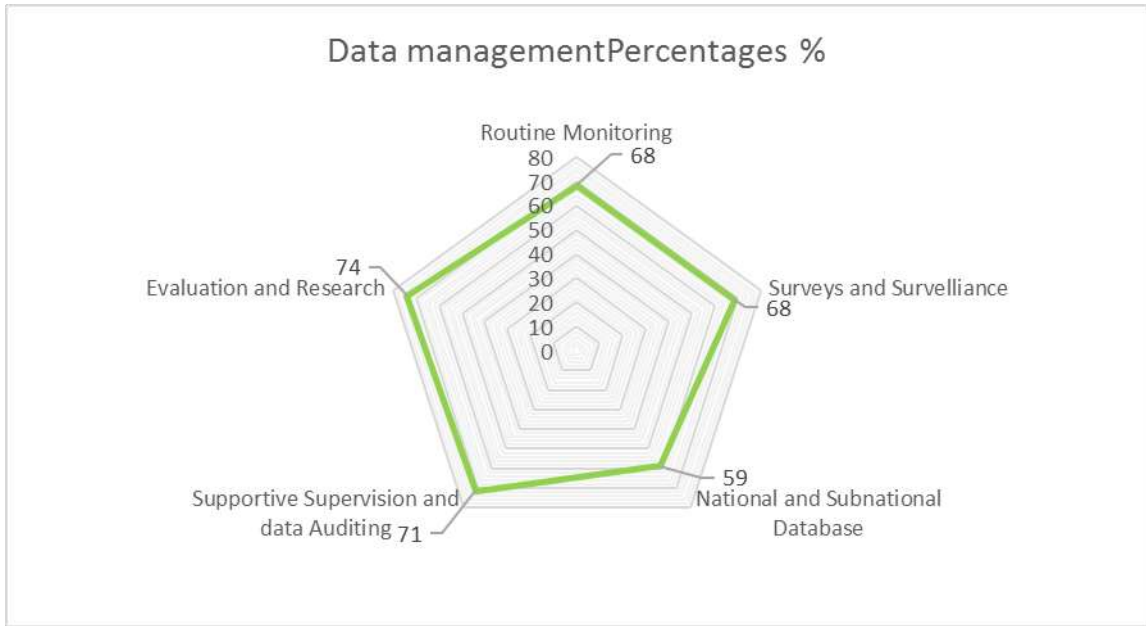
Fig 4.3 Data Collection, Capturing and Verification Subset (in percentage)

Source: Author

Routine Program Monitoring: As depicted in Figure 4.3 above this component scored 68 percent. KEFRI has guidelines for recording, gathering, comparing and broadcasting data. This finding is consistent with what Chisinau (2011) found in Moldova and Measure Evaluation (2013) Kenya where tools for data collection were available for the systems assessed. Once data have been collected there are guidelines on how data should be filled in into the systems from the tools and there was an agreement that the tools used for data collection capture essential indicators for routine performance monitoring. However, the tools for data collection are not uniform and not always available. It was also noted that there was lack of trained personnel's to carry out the required duties as per the objectives of the organisation. Review of documents revealed existence of guidelines on how data auditing needs to be done in the country at all levels. These are helpful in guiding data quality for all data collected on forests in the country. This findings agree with what Chisinau (2011) found in assessment of HIV/AIDS systems in Moldova where he found existence of national monitors and forms already created.

National and Subnational Database: The national and subnational database component had the second lowest score among the 12 components with a score of 52 percent. KEFRI has an existing database which has structures, mechanisms, procedures and time frame for data management. However the databases cannot generate routine monitoring reports from the database. However the database is not up to date. This finding is consistent with what Chisinau (2011) found in Moldova and Measure Evaluation (2013) Kenya where tools for data collection were available for the systems assessed. Once data have been collected there are guidelines on how data should be filled in into the systems from the tools

Supportive Supervision and data auditing: This component scored 71 percent. There are existing guidelines and tools for supportive supervision that ensure its activities are in accordance. There are available procedures and tools for data quality audits despite the lack of existing policies. Findings from data quality audits are usually shared with the stakeholders. These findings differs with what Chisinau (2011) found in Moldova where there was no inventory of the surveys although they had been clearly outlined in the work plans. Moreover, there lacked a policy guiding periodicity within which surveys should be conducted (Chisinau, 2011). From review of documents it was noted that KEFRI works closely with the stakeholders in developing ethics governing forestry and research among key populations in Kenya. This is a good strategy as it sets to control how studies should be conducted with minimal harm to the study subjects and their communities. Review of document also revealed that KEFRI has an inventory database/system for keeping and storing data on completed surveys in the country that can be accessed by stakeholders upon request from the management.

Research and Evaluation: This component scored 74 percent. There is an inventory register database that includes planned evaluation and research activities. A research and evaluation agenda also exists. KEFRI has forums for dissemination and discussion of findings that brings in key stakeholders in M&E. The stakeholders are also involved in reviewing of the results against the M&E plan. This differs from what Chisinau (2011) found in Moldova where the operational research was underdeveloped. Development of

the research hub will help focus on results and reduce duplication of efforts and thus ensure cost effectiveness. Evaluation is only conducted from review of strategic plans which is not comprehensive. This finding is inconsistent to what Chisinau (2010) in Moldova. His assessment identified the lack of an inventory of any institutions of research or any initiatives for evaluation both those planned for and those already completed (Chisinau, 2011).

4.3.3 The Use data for Decision Making

Data Dissemination and Use: This component scored a 52 percent which was the lowest among the components. The study revealed that there exists a data plan use at KEFRI but it was only partly used for decision making although it was embedded in the organizations strategic and the M&E plan. The system has only partly ensured that information products meet stakeholders' information needs. These findings contrast to the findings on report of assessment of Nigeria HIV monitoring and evaluation system which identifies various forums as one way through which the country led organization uses to disseminate its information. Use of website and preparation of reports were some of the ways through which the Nigeria NACA organization ensured various stakeholders get information on HIV/AIDS in the country. From document review and discussion with key informants it was seen that information disseminated is analyzed per user needs for example some summary findings are done in Swahili and also some summary targeting policy makers are done in non-technical terms.

CHAPTER FIVE

SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1. Introduction

In this section the results, the conclusions and recommendations from the assessment of the KEFRI M&E system were summarized. In this chapter we shall try to give recommendations of all the 12 components of M&E that were addressed for the specific objectives through identifying key areas of strength and the gaps that need some reinforcement.

5.2. Summary

This assessment was conducted so as to try and establish if the KEFRI system meets the conventional system standards. This valuation was conducted through summarizing the 12 components into three distinct subsets the first being; determining how the M&E system at KEFRI meets the core components of resources and capacity building, Second, establish if KEFRI's M&E system has mechanisms through which data is collected and verified to meet the set standards and finally, establish if the KEFRI M&E system has a provision for enhanced data dissemination and use for decision making.

Both primary and secondary sources of data were used for this study. It was collected through administering of questionnaires and data from document reviews. The data was then analyzed on Microsoft Excel (2010), from which the KEFRI M&E system scored 68 percent. As indicated earlier above, scores varied with the costed work plan component scoring the highest at 84 percent whereas data demand and use scored the lowest at 52 percent.

The assessment established that the KEFRI M&E unit has a full time employee (M&E manager) and that the unit was inadequately staffed and hence recruitment of more staff in that unit was a priority and it needed to be done. We also noticed that KEFRI ensures that program managers are involved in creating the M&E Plan and ascertaining that it meets the conventional M&E system plan requirements, consequently linking program-

specific M&E plan(s) to the overall M&E plan. However, KEFRI needs to ensure that the M&E are well equipped to carry out their duties.

The KEFRI M&E system has set out procedures for managing its data since it is big on research activities and thus provides instructions on how to uphold the quality of data. KEFRI has not fully adopted data bases for electronic capturing & storage of generated data as it uses only Microsoft excel (2010), though its currently conceptualizing electrical data collection. The essential tools and equipment for data management are partly available but all tiers do not use uniform data collection forms.

The KEFRI M&E system has an inventory of surveys and surveillance activities for the organisation. However, the current inventory of surveys and surveillance activities conducted or planned in the organisation is not up to date. Although the protocols for surveys and surveillance activities undertaken in the organisation in the past year are available there needs to be in place a functional surveillance system.

The key KEFRI M&E system strengths include: M&E staff involvement in building skills and technical know-how for fulfilling the M&E mandate. Existence of a costed work plan, alignment of the work plan and the strategic plan, the M&E personnel were involved in the organizations' planning committee. Finally KEFRI ensures that there is communication, advocacy and behavior through existence of policies and strategies at KEFRI that promote M&E functions.

The gaps identified in the system include; minimal M&E staff, lack of partnerships of the M&E system lack of staff to maintain and update the data base and also lack of consultation to the relevant stakeholders in the improvement of the M&E plan.

5.3. Conclusion

This assessment was conducted to ascertain the conformity of KEFRIs M&E system to the conventional set requirements. Further i sought to: evaluate structures put in place for the people, partnerships and planning, establish if KEFRI's M&E system has

mechanisms through which data are collected, captured and verified and finally determine if the KEFRI M&E system has a provision for enhanced data use for decision making. We are able to identify different gaps and strengths of the system since different components scored differently. The M&E system at KEFRI attained an average score of 68 percent.

At 68 percent, the M&E system was rated 'fairly good', but with areas that need adjustment. When in it comes to what is being practiced areas in resources and capacity building, data quality systems, data analysis and use and evaluation are well in shape. However, other components need strengthening with critical focus on human capacity to acquire more staff with the required knowledge, skills and experience to carry out M&E work more effectively. The ongoing process of reviewing the M&E plan should directly address the documentation aspect. Moreover, with continuous management support, resource allocation and assessment for improvement, KEFRI M&E system can be an exemplary system. From the assessment, it emerged that costed work plan, evaluation and research, communication advocacy and behavior were the best performing components however some components scored below average and they included data demand and use, national and subnational database hence this areas were recommended for improvement. This score meant that the system was partly functional and that with the recommended adjustments it would meet the required international standards.

5.4. Recommendations

The recommendations were made based on study objectives and the findings which in turn informed the conclusion. It is evident from the findings that a lot still needs to be done to ensure that the KEFRI M&E system fully fits in the conventional set standards as prescribed by (MERG). The proposed recommendations are:

5.4.1 Structures for People, Partnership and Planning

Organizational Structures for M&E: KEFRI has an M&E unit within its technical services unit with an M&E manager however the staffing requirements for staff like the supervisory and capacity building officer, monitoring officer, research and evaluation

officer and data clerk(s) is very high hence the unit needs to be fully set up with a budget of its own to facilitate operations. KEFRI should therefore address the inadequacy in the number of M&E personnel for better performance of the M&E unit. Since Kefri M&E system does has inadequate human capacity to realize its obligation, technical support should be availed in sufficient quantity flanked by a written mandate to execute the M&E functions.

Human Capacity: The M&E staff at KEFRI need to be empowered with more competencies and skills to enhance their delivery. The assessment of staff has not been conducted in a long time and hence this needs to be done to make sure that staff have the right skills. Kefri should thus put more emphasis on periodic in service skills and competency assessments, training workshops and mainstream in-service training programmes.

M&E Partnerships: The KEFRI M&E is part of some M&E Technical Working Group (TWG), however there is need to have the M&E system partner with more relevant TWG so as to provide an exchange programme platform for its M&E personnel. We also found out that the KEFRI M&E unit partially involves the management in planning for its work and M&E plans, contrary to the required standards. Therefore we recommend that the M&E unit to entirely involve the management in planning for all its works and M&E plans.

M&E Plan: KEFRI should make sure that all program managers join to improve the current multi-program plan and make sure it meets the conventional set plan standards. I recommend that the M&E unit should have a stipulated budget of its own so that it can be able to achieve its planned activities for each year.

M&E Work Plan: The KEFRI system has work plans that are partly costed specific to the programs and aligned to the overall M&E work plan. The current work plan needs to be updated regularly based on the performance monitoring while making sure that all the relevant stakeholders are involved in this process.

Communication and Advocacy: KEFRI partly has a specific communication strategy that enhances dissemination of information to all of its beneficiaries. I therefore recommend that information on evaluations in future is disseminated to all beneficiaries and stakeholders considering their involvement and need for the information.

5.4.2 Data Collection, Capturing and Verification

Routine Program Monitoring: KEFRI M&E system partly has essentials tools and equipment for data management therefore ensuring data quality. The KEFRI M&E system should ensure that the systems in place are enhanced so that they can guarantee that personnel ensure data quality before submission.

Databases: The KEFRI M&E system uses Microsoft excel for its electronic data base, though it is currently in the process of adopting electronic capturing and storage of data. The M&E system needs to adopt structures, processes, procedures and timelines for, integrating, conveying, keying in, and data transfer amongst data bases for supporting the M&E unit. The system also needs to ensure that there is routine monitoring.

Supervision and Auditing: The KEFRI M&E system supervision and auditing has been partly in the past. The past supportive supervision was conducted in accordance with the current stipulated guidelines. The score of this component was impressive, consequently the contributing practices should be maintained and improved by KEFRI.

Evaluation and Research: The KEFRI M&E system has an inventory register database for all the activities and it is specific to the organizations' research agenda it also has a research and evaluation outline centered on input from main research stakeholders with the aim of approving new studies. I highly recommend that this database is updated regularly while bring in all the key stakeholders.

5.4.3 Data Use for Decision Making

Data dissemination and use: The KEFRI M&E system partly ensures that stakeholders have been assessed and information products regularly disseminated to information providers. I recommend that the system always ensures that information products meet stakeholders' information needs with the provision of procedures to fortify the analysis, exhibition and data use at the organization. The M&E system should also ensure that there is accessibility and availability of data or information products by providing a public domain (online platform) for its stakeholders.

5.4.4 Recommendations for Policy and Programs

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

5.4.5 Recommendation for Further Research

Future studies should look at how various stakeholders are involved in the data production and transmission to the main system at KEFRI. There should also be further research on how to maximize the use of the data available at Kefri to enhance better decision making amongst all the stakeholders.

There needs to be a standard measure against which to rank the overall performance of a given M&E system; for instance, if a system scores 50 percent, it is not indicated whether this should be graded as 'excellent', 'good', 'fair' or 'poor'.

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APPENDIX I: QUESTIONNAIRE

Dear Respondent,

Greetings. My name is Kelvin Tumbuti, a student at the University of Nairobi pursuing a Master's Degree in Monitoring and Evaluation of Population and Development. I am carrying out a research to assess the Monitoring and Evaluation System of Kenya Forestry and Research Institute (KEFRI). The survey will focus on the 12 components of an M&E system and will help in providing an in-depth understanding of the Monitoring and Evaluation system of KEFRI.

The outcome of this study will be useful to me in fulfilling my academic requirement for the award of Master's Degree in Monitoring and Evaluation, and to KEFRI stakeholders and the Board in terms of how well the M&E system of the KEFRI is functioning. The information you will provide me will be treated with confidentiality and will be used for the purpose of this study only. Your identity wilt not be revealed to anyone, are you willing to fill in the questionnaire?

1. Yes   2. No

SECTION A (RESPONDENT'S DETAILS)

1. Sex

I. Male   2. Female

2. Level of education

1. Secondary

2. Diploma

3. Graduate

4. Postgraduate

3. How long have you been working at the Kenya Forestry and Research Institute?

…………………………………………………………………………………………

4. Job Designation

…………………………………………………………………………………………

5. Have you received any training in Monitoring and evaluation?

…………………………………………………………………………………………

1. Yes   2. No

SECTION B:

Component 1: Organizational Structure with M&E Functions

The organization has an M&E unit/directorate

1. No   2. Yes

The M&E responsibilities are clearly defined in job descriptions

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The number of M&E staff at the unit/directorate is adequate

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

M&E unit meets regularly to assess progress, plan, and coordinate

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The organization has effective leadership for M&E

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Please identify any three major challenges in the organizational structure in relation to M&E functions

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Please suggest any key improvements that are necessary in this area

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Component 2: Human Capacity for M&E

Staff at the entity involved n M&E have the skills and competencies needed to fulfil the entity's M&E mandate

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The organization has constant human capacity assessment for M&E staff

I. Not at all 2. Yes partly 3. Yes completely

M&E Staff are appropriately trained to improve their human capacity

(Completeness, timeliness, accuracy, reliability)

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Please identify any three major challenges in human capacity for M&E

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Please suggest any key improvements that are necessary in this area

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Component 3: M&F Partnerships

KEFRI has an inventory of all M&E partners (Technical working Groups,-TWG)

1. No   2. Yes

There are clear mechanisms (e.g. feedback reports, newsletters) to communicate about M&E activities and decisions to the TWG's.

1. Not at all   2. Yes partly   3. Yes completely

There is regular participation in the national M&E technical working group

1. Not at all 2. Yes partly 3. Yes completely

Please identify any three major challenges in M&E Partnerships

…………………………………………………………………………………………………

…………………………………………………………………………………………………

…………………………………………………………………………………………………

Please suggest any key improvements that are necessary in this area

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Component 4: Organization M&E Plan/ Framework

There is a reviewed and updated M&E plan for the organization

1. No   2. Yes

Relevant Stakeholders are involved in the development of the M&E plan

1. No   2. Yes

The M&E plan meets the international stipulated guidelines

1 Strongly disagree   2. Disagree   3. Agree   4. Strongly Agree

The total budget cost for last year's M&E planned activities was achieved

1. Strongly disagree   2. Disagree   3. Agree   4. Strongly Agree

What percentage of last year's M&E planned activities do you think were achieved?

1. 0-40%   2. 41-70%   3. 71-100%

Please identify any three major challenges in the organization's M&E Plan

…………………………………………………………………………………………………

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Please suggest any key improvements that are necessary in this area

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Component 5: Costed Work Plan

The current M&E activities are costed

1. Not at all   2. Yes partly   3. Yes mostly

The work plan clearly identifies activities, responsible implementers, time frame, activity costs, and sources of funding

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The current work plan has been updated based on performance monitoring

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The current work plan has been endorsed by relevant stakeholders

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Specific resources (human, financial, and physical) have been committed to implement the work plan

I. Not at all 2. Yes partly 3. Yes mostly

The committed resources are adequate to implement the work plan

I. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Please identify any three major challenges in the organization's Costed Work Plan

Please suggest any key improvements that are necessary in this area

Component 6: Communication, Advocacy Culture and Behavior for M&E

There are people who strongly advocate for and support M&E for the organization

1. Not at all   2. Yes partly   3. Yes mostly

The organizational leadership supports the M&E activities

I. Strongly disagree   2. Disagree   3. Agree   4. Strongly Agree

The organization has a specific communication strategy

1. Not at all 2. Yes partly 3. Yes mostly

The communication strategy addresses all aspects of the organization's activities

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

There is a focal person or team in charge of advocacy, communication, and social mobilization

1. No   2. Yes

The focal person or team has terms of reference that outline how communication should be conducted

1. No   2. Yes

Do you think that the M&E unit staff' feel motivated to gather information that is used for reporting purposes?

I. Not at all 2. Yes partly 3. Yes mostly

What do you feel is the M&E Unit's biggest challenge related to the collection, processing and reporting of data?

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Please identify any three major challenges in the organization's Communication, Advocacy Culture and Behavior for M&E

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Please suggest any key improvements that are necessary in this area

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Component 7: Routine Monitoring

Essential tools and equipment for data management are available

1. Not at all 2. Yes partly 3. Yes completely

All tiers use uniform data collection forms

1. Not at all 2. Yes party 3. Yes mostly

The tools capture essential indicators for routine performance monitoring

I. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

There are guidelines for recording, collecting, collating, and reporting routine data

1. No. 2. Yes

Please identify any three major challenges in Routine Monitoring

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Please suggest any key improvements that are necessary in this area

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Component 8: Surveys and Surveillance

An inventory of surveys and surveillance activities for the organization is available

1. Not at all 2. Yes partly 3. Yes completely

The current inventory of surveys and surveillance activities conducted or planned in the organization is up to date

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Protocols for surveys and surveillance activities undertaken in the organization in the past year are available

1. Not at all 2. Yes partly 3. Yes completely

There is a functioning surveillance system

1. No 2. Yes

The surveillance system helps the organization undertake functions related to detection and notification, reporting, and feedback

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Please identify any three major challenges in Surveys and Surveillance

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Please suggest any key improvements that are necessary in this area

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Component 9: National and Sub-national Databases

A database for capturing and storing data is up to date

1. Not at all   2. Yes partly   3. Yes completely

The database captures all data elements required by the organization's M&E system

1. No   2. Yes

Structures, mechanisms, procedures and time frame for entering, transmitting, extracting, merging and transferring data exist

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The organization is able to generate routine monitoring reports from the database

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Please identify any three major challenges in the M&E database

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Please suggest any key improvements that are necessary in this area

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Component 10: Supportive Supervision and Data Auditing

Guidelines and tools for supportive supervision are available

1. Not at all 2. Yes partly 3. Yes completely

 The last supportive supervision was conducted in accordance with the current guidelines

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Policy, procedures, and tools for data quality audits are available

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Data quality audits are conducted as per the stipulated policy and procedures

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The findings from the data quality audit are shared with stakeholders

I. Not at all 2. Yes partly 3. Yes mostly

Please identify any three major challenges in Supportive Supervision and Data Auditing

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Please suggest any key improvements that are necessary in this area

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Component 11: Evaluation and Research

There is an inventory register database that includes conducted or planned evaluation or research activities

1. Not at all 2. Yes partly 3. Yes completely
Organization-specific research agenda exists

Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

There are organizational forums for dissemination and discussion of evaluation and research findings

1. Not at all 2. Yes partly 3. Yes mostly

The forums bring in key stakeholders in M&E

1. Not at all 2. Yes partly 3. Yes mostly

The M&E unit conducts reviews with stakeholders of M&E results against the M&E plan during annual reporting, mid-term and the end of the strategic plan period?

1. Not at all 2. Yes partly 3. Yes mostly

Please identify any three major challenges in Evaluation and Research

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Please suggest any key improvements that are necessary in this area

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Component 12: Data Demand and Use

An organizational data use plan exists

1. No   2. Yes

The data use plan is embedded in the organization's strategic plan and M&E plan

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The data use plan is informed by an assessment of user needs

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Does the M&E unit produce M&E products (reports, website content, emails, newsletters, maps, tables, charts, etc.) that present information useful for decision making?

1. Not at all   2. Yes partly 3. Yes completely

The organization disseminates information products to stakeholders

2. Not at all 2. Yes partly 3. Yes completely

Information products have contributed to influence policy and practice (generated from routine data, surveys, surveillance, and research activities)

I. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

Please identify any three major challenges in Data Demand and Use

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Please suggest any key improvements that are necessary in this area

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Thank you.

APPENDIX II: CHECKLIST

Checklist for assessing the KEFRI - monitoring and evaluation system using the 12 components of monitoring and evaluation tool.

Document Review Guide; Adopted from (UNAIDS 2009a; 2009b; World Bank 2009)

1. **Organizational Structures with M&E Functions**

☐ Check if KEFRI has an M&E units.

☐ Leadership structure exist and documented.

☐ Number of personnel in the M&E units for KEFRI.

2. **Human Capacity for M&E**

☐ Is there a Human capacity development plan?

☐ Does the organization have defined skill sets for M&E personnel?

☐ Has Human capacity assessment been conducted in the organization?

☐ Are there Local/regional institutions that offer training in M&E?

☐ Is there a Standard curriculum for M&E capacity building?

3. **Partnerships for the M&E system**

☐ Check if there is inventory of all M&E partners with documentation describing how often they should hold meetings and their role.

☐ Check if there is leadership to enable stakeholder participation.

4. **M&E plan**

☐ Check if there is an M&E plan developed for the organization.

☐ Check if development of the plan involved relevant stakeholders.

☐ M&E plan meet minimum conventional standards.

☐ Check for budget estimates for the M&E plan?

☐ Check if the M&E plan describes how the 12 components will be implemented.

☐ Check if the M&E plan describes data architecture from various partners.

☐ Check if the M&E plan has indicators with baseline values.

☐ Check if all the indicators have targets.

5. Costed annual M&E Work Plan

☐ Check if the organization has M&E work plan.

☐ Check if activities in the M&E work plans have been costed and allocated budgets.

☐ Check if all activities in the M&E work plan have been assigned implementing partners.

☐ Check if the annual work plans are revised quarterly.

6. M&E Communication and Advocacy Culture

☐ Check if there is Communication and Advocacy for the organization.

☐ Check if advocacy activities for M&E are planned, targeted and structured.

7. Routine Monitoring of the Programme

☐ Check if there are forms and tools for routine monitoring of programmes.

☐ Check if there are guideline for data collection and general data management.

8. Surveys and Surveillance

☐ Check if there are inventory of completed surveys.

☐ Check for documented schedules for surveys and surveillance.

☐ Assess if the protocols of surveys meets international standards.

9. **National Data Bases**

☐ Check if there are any databases within KEFRI.

☐ Check if the databases are operational.

☐ Check if the databases are integrated.

☐ Check if there sufficient IT equipment to manage the databases.

10. **Data Auditing and supervision**

☐ Check for documented guidelines for supportive supervision and data auditing.

Check if the organizations give feedback to supervised teams with data quality audit reports.

11. **Research and Evaluation**

☐ Is there an updated research agenda for the organization?

☐ Check for inventory of completed and ongoing research and evaluation studies.

☐ Check for documented ethical approvals and procedures.

☐ Check for inventory of various partners carrying evaluation and research in forests.

☐ Check if evaluation and research findings are disseminated.

12. **Use of Data and its Dissemination**

☐ Check if there are schedules for dissemination of findings.

☐ Check if information is analyzed per user needs.

☐ Check if KEFRI has developed information products for specific audiences.