AN ASSESSMENT OF THE MONITORING AND EVALUATION SYSTEMS OF THE STATE CORPORATIONS: A CASE STUDY OF THE POSTAL CORPORATION OF KENYA

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A Research Project submitted in partial fulfillment for the Award of Masters of Arts Degree in Monitoring and Evaluation of Population and Development Programmes, Institute of Population Studies and Research of the University of Nairobi.

DECEMBER 2019

DECLARATION

I present this work as my own that has never been presented in any other institution for academic purposes.

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DEDICATION

I dedicate this research project to my loving family, my mother Josephine Makhaso and my late father Gregory Wamalwa.

ACKNOWLEDGEMENT

I would like to give special thanks to my supervisors, Dr. S. Wakibi and Prof. L.Ikamari who helped me through the process of completing this research project successfully. Their knowledge in the subject matter is unquestionable and has shaped this research project to what it is now.

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LIST OF ABBREVIATIONS AND ACRONYMS

M&E	Monitoring and Evaluation
NGOs	Non-Governmental Organizations
PCK	Postal Corporation of Kenya
GPO	General Post Office
NIMES	National Integrated Monitoring and Evaluation System
SPSS	Statistical Package for Social Scientists
PCK	Postal Corporation of Kenya
EMS	Expedited Mail Service
GPO	General Post Office
SAPs	Structural Adjustment Policies
IMF	International Monetary Fund
ISC	Inspectorate of State Corporations
MED	Monitoring and Evaluation Directorate
AEA	American Evaluation Association
ESRWEC	Economic Recovery Strategy for Wealth and Employment Creation
UNDP	United Nations Development Programme.
CIMES	County Integrated Monitoring and Evaluation System
UNAIDS	United Nations Programme on HIV/AIDS

ABSTRACT

There has been urgent need for Postal Corporation of Kenya to revive its Monitoring and evaluation system and improve its services if it has to stay relevant in the competitive market today. The overall objective of the study was to determine whether the Postal Corporation of Kenya's Monitoring and Evaluation meets the established standards of a functional M&E system. The focus was on the eight components which are the resource and capacity building, documentation, data collection, data quality systems, data verification, data analysis and use, evaluation, alignment and leadership. The study aimed at determining how people, partnership and planning aid in the systems effectiveness and whether data collection, capturing and verification meet the set standards of an M&E system and lastly how data is disseminated and utilized in the PCK M&E system.

The study operationalized FHI 360 participatory system assessment tool that condenses twelve components to eight components. A sample size of 68 was used and purposive sampling selected for the study. Data was collected through administering of questionnaires, through face to face interviews and document review. The study employed descriptive statistics to analyze the data.

The overall score for the PCK M&E system was 56 percent, which was rated 'fairly good'. Data collection and management scored the highest at 60 percent while data analysis and use scored the lowest at 50 percent. The key strengths of the PCK M&E system were: presence of well outlined procedures, strong partnerships and standardized data collection tools. The key gaps were: minimal budget, inadequate staff lacking appropriate skill mix, documentation of M&E procedures, lack of data analysis and use and lastly no evidence that data analysis has led to improvements in program design or implementation.

The recommendations made were to have a fully functional M&E systems and program M&E managers should ensure that meet the M&E systems standards. Further, PCK management should perform evaluations so as to improve the program, disseminate the evaluation results to stakeholders and utilize the information obtained from branch offices for decision making.

CHAPTER ONE: INTRODUCTION

1.1 Background Information

Monitoring and evaluation (M&E) knowledge demand is being motivated by among others, citizens who are now empowered, and clamor for better services and solutions to improve their livelihoods from NGOs, government entities, among other development partners (Mthethwa and Jili, 2016).Monitoring and Evaluation (M&E) are fundamental ingredients in the transformation of state corporations to be efficient, effective and responsive to citizens (Gorgens and Kusek, 2009). The information that M&E programs are important since it helps to raise awareness and promote efficient programs and policies. Governments are held accountable to effect changes in budgeting and planning in organizations (Gorgens and Kusek, 2009).

Monitoring it's an on- going process of a program that assists beneficiaries, stakeholders and program managers to track and regularly collect information to obtain the desired results that are useful for decision making, evaluation and learning. It enables all processes to be documented against set goals and objectives(Hunter, 2009).The aim of monitoring is to develop credible and useful information for the purpose of successful implementation by partners and program managers and to ensure effective, efficient and sustainable projects(Gorgens and Kusek, 2009).

Monitoring and Evaluation (M&E) checks the baseline of a program, progress of work, reviews the quality of work against the action plan, recognizes challenges in planning and makes appropriate changes to the project as may be necessary in order to make a difference (UNAIDS, 2009).

Monitoring and evaluation ensures that all parties involved in the program learn through other people's experiences, expertise and knowledge (Gorgens and Kusek, 2009). It frequently produces reports that are transparent and offer avenues for learning and making adjustments in the program. It assists policy makers to use what they have learnt in M&E to make policy and practice. Lastly it's used as an avenue by organizations to raise funds for programs (Gorgens and Kusek, 2009).

Postal Corporation of Kenya (PCK)

Postal Corporation of Kenya (PCK) is a commercial State Corporation that was established in 1999 operating under the PCK Act 1998. It was formerly known as the Kenya Post and Telecommunication Corporation (KPTC) but split in 1998 into three corporations namely: (PCK), Communication Authority of Kenya (CAK) and Telkom Kenya. PCK is obligated to provide affordable, reliable and accessible products, mail and financial services through a large network of 620 post offices and 5000 stamp vendors' country wide. It consists of one head office which is the headquarters in Nairobi, and head post offices which are:- City Square, General Post Office (GPO), Enterprise, Ngara, Thika, and Eastleigh. Each head post office consists of other sub post offices which it holds and is accountable in terms of its operations and functionality. There are various sections which aid in the normal operations of PCK as a whole they include: Human resource, Compliance, Finance, Audit, Strategic Research and development section, Sales and customer care, Supply, Facilities and Fleet. The PCK M&E system activities are carried out by the Strategic Research and Development section (SR&D) (PCK CSP 2019/2020-2021/2022).

1.2 PCK M&E System

This system is managed by the monitoring and evaluation unit who are the Strategy, Research and Development department. The information is reported on a monthly basis from the Post offices to Head Post offices to the relevant departments and finally to the Strategic Research and Development department for analysis and decision making by managers. This information is transmitted electronically using File Transfer Protocol. The PCK M&E system incorporates the first mail service model which entails letter postage volumes and amounts collected from each Post Office and the report channeled on a weekly basis to the mails department for analysis. Other products which are within the mail service model that undergo the same channel of data processing is the Posta dispatch where shipments are picked up and delivered, Virtual boxes, stand-alone boxes sub-post office agents and post shops. All these are channels in which the Postal Corporation of Kenya uses to generate revenue so as to operate accordingly and meet its objectives as it is mandated.

Secondly, it incorporates payment service model which consists of the collection of revenue on behalf of insurance firms, collection of deposits and withdrawals from

accounts. The Corporation obtains a commission from the named payment services from various partnerships with companies and other institutions. The data is channeled through the Finance department for compilation then sent to the Strategic Research and Development section for budgeting by management.

Thirdly, it incorporates the courier service model which entails the expedited mail service (EMS) that is a worldwide courier service that is fast, reliable and secure.

Lastly, the asset management model deals with collection of revenue from office space and post buses which offer travel service to its customers for a fee. The PCK M&E system helps the Strategic Research and Development unit to track activities and monitor operations to assess progress and measure them according to the set targets. The Strategy Research and Development section coordinates activities and actions of the M&E system. This section runs the operations of the PCK M&E system and it develops the M&E framework for PCK. (Strategic plan 2016/17– 2018/19 pgs. 22-23).

1.3 Problem Statement

Postal Corporation of Kenya M&E system is responsible for provision of information on the progress of whether PCK is meeting its overall goals and objectives. Frequent assessing of existing M&E systems ensures procedures are either improved or corrected. (World Bank, 2009; UNAIDS, 2009a and Global Fund et al., 2006). The PCK analyses its operations using the strengths, weaknesses, opportunity and threats matrix. This technique doesn't provide a full overview of the functionality of the Corporation and therefore the need to perform an assessment to establish whether PCK meets the standards of functional M&E system. Furthermore it is recommended that assessment of an M&E system should be performed after 2-3 years to ensure organizations function according to set standards (World Bank, 2009; UNAIDS, 2009a and Global Fund et al., 2006). Findings from other studies have revealed that lack of proper frameworks limit the utilization of M&E systems to the full. This affects various areas in the organization namely planning, data collection, data verification, evaluation and leadership (UNDP, 2009).

It has been five years since the assessment of the PCK M&E system and yet there has been dynamic changes taking place within the service sector. It is therefore important for the organization to stay abreast with the changes and compete in the same level as

other service organizations (UNDP, 2009); therefore the need for a comprehensive assessment to take place at PCK.

The aim of this study was therefore to determine the status of PCK M&E system given the rapid changes that are taking place in the sector.

1.4 Research question

Does the PCK M&E system meet the established standards of a functional M&E system?

1.5 Research objective

To establish whether the PCK M&E system meets the established standards of a functional M&E system.

1.6 Specific objectives

a. To determine how the people, partnerships and planning component aid in the effectiveness of the PCK M&E system.
b. To determine the extent to which data collection, capturing and verification meets the set standards of an M&E system.
c. To determine how information is disseminated and utilized in the PCK M&E system.

1.7 Justification

The assessment of the PCK M&E system was vital in determining if the system complied with the set international standards of a functional M&E system. The information produced from the study will assist the PCK management to make the necessary changes to ensure it functions as it should (Failing and Gregory, 2003). The importance of organizations in using M&E in tracking performance and measuring effects of management has been given keen interest. M&E offers several contributions and shows mistakes and provides avenues for improvement. Information generated from M&E systems assists state Corporations and other enterprises make better decisions in improving better service delivery mechanisms for their customers and improves innovation. (Hailey, 2000). Findings from this study have added to the

existing body of knowledge in the service industry and recommendations will be useful in making improvements in the system and other state corporations.

1.8 Scope and Limitations

The study scope focused on management level employees from branch offices, sectional heads and the strategic research department who are the M&E officers since they had a wide knowledge base and experience on the PCK M&E system. The compilation was done at the Postal Corporation of Kenya headquarters for the strategic period plan of 2016/17-2018/19.

CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

This chapter presents an overview of M&E in state corporations in Kenya, the components of a functional M&E system, the empirical literature on M&E system assessments and operational framework.

2.2 An overview of monitoring and evaluation in state corporations in Kenya

State corporation is a government owned corporation established under section 3 of the state corporations Act, cap 446. They help the government to run its business and other elements and are responsible for certain services to the general public. State corporations in Kenya are regarded as agencies that have a great potential to facilitate growth (Njiru, 2008). The formation of state corporations was driven by the need to redress regional economic balance, citizen participation in the economy and promoting indigenous entrepreneurship through good governance.

The Inspectorate of State Corporations (ISC), states that Kenya has over 220 state corporations in operation (ISC, 2018) they include: Financial; Commercial/Manufacturing; Regulatory; Public Universities; Training and Research; Service; and Tertiary Education and Training (ISC, 2018).

The oversight authority of these state corporations is vested in the Inspectorate of State Corporations (ISC, 2018. Reviewing of the state corporation Act 2016, there is no section dedicated to the establishment of (ISC) (Republic of Kenya, 2016. State corporations are formed under provisions of Section 3 of the State Corporation Act and whose purpose is to oversee the operations. Among the four functions of the Inspectorate of State Corporations (ISC) is performance management of state corporations (ISC, 2018). Under this function, the ISC is mandated to review and provide feedback on quarterly and annual performance reports of state corporations in compliance with the requirements of legal Notice No. 93 of 2004 (ISC, 2018).

Efforts to enhance accountability and promote management for results in state corporations can be traced back to the year 2004. These are guidelines for state corporations meant to give direction on performance contracts entered into between

the national government and state corporations (Republic of Kenya, 2004). Performance evaluation has been defined to mean the assessment of the extent of achievement of agreed targets (Republic of Kenya, 2004). Under Section 4 of these regulations, each state corporation is required to sign a performance contract at the beginning of each financial year, while Section 5 outlines the responsibility of parent ministries with regards to performance targets set by state corporations (Republic of Kenya, 2004). Under Section 9, the responsibilities of the Inspector General (Corporations) are explicitly outlined (Republic of Kenya, 2004). Section 9 Clause (a) to (d) are relevant to this study and all touch on matters evaluation i.e. evaluating results of agreed performance targets, and procedures for conducting the same (Republic of Kenya, 2004). In summing up this section, M&E in individual state corporations is still vague and needs to be explored further (Republic of Kenya, 2016; Republic of Kenya, 2004).

State Corporations in Kenya have been experiencing problems including impunity, poor corporate governance, weak supervisory mechanisms, financial structure and management abuse of office (Wanjala, 2018). This is a clear manifestation of governance problems, which require a critical examination of effective monitoring and evaluation systems.

Monitoring was one of the medium term objectives, which were to be implemented in all state corporations projects; the process has been very slow due to significant changes that have evolved on project management practices despite lack of a legislative framework to guide it. Effective M&E systems improve efficiency, transparency and reduce cost of operation. According to (Kim et al, 2008), only 33% of the state corporations in Kenya have implemented the monitoring and evaluation practices to improve services. According to (Kimayo, 2012) narrates key state corporations have transited from systems with no regulations to orderly legally regulated M&E systems currently in use.

A good example is the National Oil Corporation of Kenya (NOCK) that adopted M&E in order to ensure that they achieve their strategic plans and compete effectively with other competitors in the industry. The success of monitoring and evaluation in the corporation is attributed to the involvement of stakeholders and availability of resources in the M&E unit. M&E has enabled the Corporation to keep track of the

implementation schedule by focusing on the efficiency of resource use towards generating the desired output. It is a valuable tool for good management in the Corporation and it provides a useful base for evaluation (Wanjala, 2018).

2.3Components of a functional monitoring and evaluation system

2.3.1 Components related to People, Partnerships and Planning.

This category of monitoring and evaluation is the outer ring that involves: (i) Organizational structures with M&E functions; (ii) Human resource capacity for M&E (iii) Partnerships for M&E; (iv) M&E Plan; (v) Cost annual work plan; and, (vi) M&E advocacy, communication and culture (UNAIDS, 2008; UNAIDS, 2009). For any practical M&E to occur in any state corporation, there ought to be structures in place within the corporation that are dedicated for that purpose (UNAIDS, 2008; UNAIDS, 2009; AIDS Centre, 2010). Even though there may be independent sectors or departments in an organization, it is required that there be a framework that harmonizes and coordinates their efforts for purposes of enhancing synergy.(UNAIDS, 2009).

Under the component resource and capacity building for M&E, personnel working in the organizational structures with M&E functions ought to be adequately skilled with relevant monitoring and evaluation knowledge (AIDS Centre, 2010). Furthermore, establishing and maintaining partnerships is key; in line with requirements of component three (AIDS Centre, 2010). If an M&E system to going to have purpose, it ought to be supported by an M&E plan (UNAIDS, 2008). This plan needs to explicitly present the data needs, indicators for measuring progress, data collection tools, including, the roles of M&E personnel (UNAIDS, 2008). In so doing, the M&E system will have met requirements of component four of the UNAIDS (2008) framework. A functional M&E system ought to have an annual cost work plan that comprises specific, and cost M&E activities and identified sources of these funding (UNAIDS, 2009). In this doing, the state corporation will be meeting with requirements of component five of the UNAIDS (2008) framework (UNAIDS, 2008). Lastly, under the outer ring, there is need to promote a culture of supporting M&E by demystifying misconceptions about M&E and reducing negative connotations while at the same time, motivating staff to create demand from within the organization, by

seeking evidence for decision making, learning and being accountable to stakeholders (AIDS Centre, 2010; UNAIDS, 2008; UNAIDS, 2009; Business Daily, 2014).

2.3.2 Components related to Data and Information

This entails the middle ring of the UNAIDS (2008) framework comprises five (5) components namely: (vii) Routine monitoring; (viii) Surveys and surveillance; (ix) Databases; (x) Supervision and data auditing; and, (xi) Evaluation and research (UNAIDS, 2009). Under the component routine monitoring, a functional M&E system performs timely and quality routine monitoring for purposes of decision-making at all levels (UNAIDS, 2008). Under the component surveys and surveillance, periodical surveys and surveillance are carried out to establish the background factors that support desired results being realized while taking note of the stumbling blocks to our intervention(s) (UNAIDS, 2008). For M&E to be successful, databases are a necessity (UNAIDS, 2009).

These databases archive all generated programme data that could then be retrieved by the M&E human resource and other stakeholders, for purposes of processing and interpretation; all these efforts aimed at improving the intervention by way of understanding the context (UNAIDS, 2008).The databases ought to be supported by adequate and relevant M&E infrastructure in order that they serve their purpose (UNAIDS 2008). In a functional M&E system, managers are supposed to oversee and direct the performance of lower staff, while creating a conducive environment for successful M&E activities (AIDS Centre, 2010; Business Daily, 2014). In summing up components of the middle ring, evaluation and research are a necessity in a functional M&E system that ensure the resulting data is assessed with a view of understanding the context and direction, outcome or ascertaining whether our intervention had an impact on the target population (UNAIDS, 2009; Bates and Jones, 2012; Kavlie and Sleeck, 2011).

2.3.3 Components related to Use of Information

At the centre of the UNAIDS (2008) functional M&E system framework is the twelfth (xii) component referred, ‘data dissemination and use' (UNAIDS, 2008). The information needs to be shared and utilized by stakeholders for accountability

purposes. For all the components to be functional and well utilized the collected data should be disseminated to appropriate stakeholders for decision making.

FHI 360 (2013); World Bank and UNAIDS (2009) AND Global et al (2006)

emphasize the importance of periodically conducting an organization's M&E system assessment. It assists management know the status of the system and identify areas of improvement.

2.4 Empirical literature on monitoring and evaluation system assessments

According to (Nalianya, 2017), the study assesses to determine the influence of M&E systems on performance of non – governmental based maternal health projects in Bungoma. Objectives were determined how M&E plan, human resource capacity, nature of M&E information systems are adopted and donor participation in M&E affect operational activities in health projects in Bungoma Sub-county. The study employed a descriptive design approach and obtained 101 respondents who provided

data through questionnaires issued to them. The correlation analysis was fairly strong between M&E plans, resource and capacity building, donor and performance of health projects. The study recommended that jobs be well aligned with M&E plans, frequent conduction of data quality assessments to minimize errors and identify weak areas of staff and create a balance between stakeholder involvement and managers so as to achieve the desired results.

According to (Olwa, 2014) used the 12 domains recommended for participatory M&E system based on the organizing framework for 12 components by UNAIDS (2008) to check the status of the CEMASTEA M&E system. CEMASTEA stands for Centre for Mathematics, Science and Technology Education in Africa. Key strengths of the system include: inventory of research studies, appropriate monitoring and evaluation standards, information dissemination forum, use data collection tools that are standardized, M&E database that is present, for continuous data analysis and improve programmes through the use of research and evaluation. Key gaps identified in CEMASTEA include inadequate resources allocated to the unit, unskilled work force poor M&E framework and M&E plan. Some positive findings CEMASTEA are accountable to donors and they monitor activities against stated goals.

In Kenya the Economic Recovery Strategy (ERS) acknowledged that M&E in Kenya has not been functioning accordingly due to donor demands. There was need to improve economic governance through an integrated system for M&E that would give a sound means for evaluating the efficiency of programmes. The system was to provide the much needed economic policy implementation feedback and form the foundation for a clear process which stakeholders could perform. Key indicators to be used in measuring efficiency were therefore identified (GoK, 2002).

According to (Karani, 2014) assessed how effectively the HIV/AIDS projects implemented by NGOs in Kenya are monitored and evaluated by the National HIV/AIDS M&E Framework derived from the Kenya National AIDS Strategic Plan 2009/10-2012/13.

The study discovered the lack of skill mix by project managers and donor requirements that were not being followed. The results of the assessment showed that

local NGOs running HIV/AIDS projects in Kenya do not adhere to the procedures in the M&E framework.

According to (Njoka 2015), the assessment employed descriptive research design which allowed for assessment of the Family Health Options Kenya (FHOK) which sought to establish the functionality of the system, its strengths and gaps and how the information will be used to improve the programme. The assessment operationalized FHI 360's Participatory M&E System Assessment Tool that condensed the 12 components of an M&E system into 8 domains, programme-level use. Data was collected through documents review, key informants interviews, discussions and observations. The data was analyzed using both qualitative and quantitative methods to produce results. Key gaps that were identified included: documentation of M&E procedures, inadequate evaluation and research capacity of M&E staff, corrections are not made after data quality assessments, evaluations are largely donor-driven and no component of FHOK M&E system has been shared in a conference or published in a peer reviewed publication. FHOK M&E system aided in making better programme implementation strategies, tracking progress against targets and strengthening efficiency of the programme. As recommendations the author realized the need for an up-to-date M&E framework in the M&E plan.

The Public Benefit Organization Act, 2013 first schedule, part II section 13 on monitoring, evaluation and reporting, requires organizations to cooperate and obtain the requirements of the beneficiaries by being open transparent in their M&E policies and use M&E tools to create positive changes in their work. Activities that have taken place during the year should be evaluated and checked for progress and improvement.

According to (Mpofu, 2014) of Botswana the assessment carried out in the strengthening of (M&E) through creation of sustainable health information systems where funding is minimal. A group of graduates were employed to develop a new cadre of health workers for duration of three years and were to be assessed after the completion of the period. Some of the methods that were incorporated are qualitative assessment entailed interviews with participants from government and non-governmental organization and other stakeholders and discussions with program managers and M&E officers. The findings were increased productivity by employees,

feedback mechanisms improved data quality that led to the utilization of information by management for policy and decision-making, better management of time by health workers and increased work productivity. Lessons learnt from the assessment were: duties and responsibilities to be well defined, funds appropriately allocated, ensure stakeholder participation in all levels of the program and minimize the rate of staff turn-over who are trained in the program. In summary: the creation of the cadre unit led to better utilization of information, improved data quality and increased efficiency and accountability in the program.

In Uganda (Ssekamatte1, 2018) mentions the importance of M&E in enhancing evidence- based management in development work and initiating change in nations. The assessment mentions the function of M&E in effective creation of new interventions is to impact climate change. It was realized that M&E has the capacity to bring change and lead to adaptation of new interventions in programs. It identifies the missing gaps and assists managers in utilization of information. Some of the findings on M&E climate change mitigation were: increased accountability and transparency, assisted organizations better program interventions, increased learning and improved evidence based decision making.

The study used FHI 360 participatory monitoring and evaluation toolkit (2013) but applied to Postal Corporation of Kenya's context. The FHI M&E system assessment tool is based on the UNAIDS (2009) 12 components of functional national monitoring and evaluation system but FHI places emphasis on program level assessment by condensing the 12 components to 8 key components which include resource and capacity building documentation, data collection and management, data quality systems, data verification, data analysis and use, evaluation and lastly alignment and leadership. FHI 360 (2013) provides a comprehensive overview of the functionality, strengths and weaknesses of a program and it charts a course for its future development. It also promotes alignment between projects and helps build capacity in M&E systems analysis, promotes ongoing M&E systems development and evolution and identifies human resource and capacity building needs for an operational M&E system. The assessment of PCKM&E system examined each of these components and whether they function accordingly.

The table below shows the questions asked that were used to measure the domain e.g. resource and capacity building in order to give a picture of how the remaining domains will be operationalized according to FHI 360,(2013).

TABLE2.1: Summary of the Operationalization of variables for each domain.

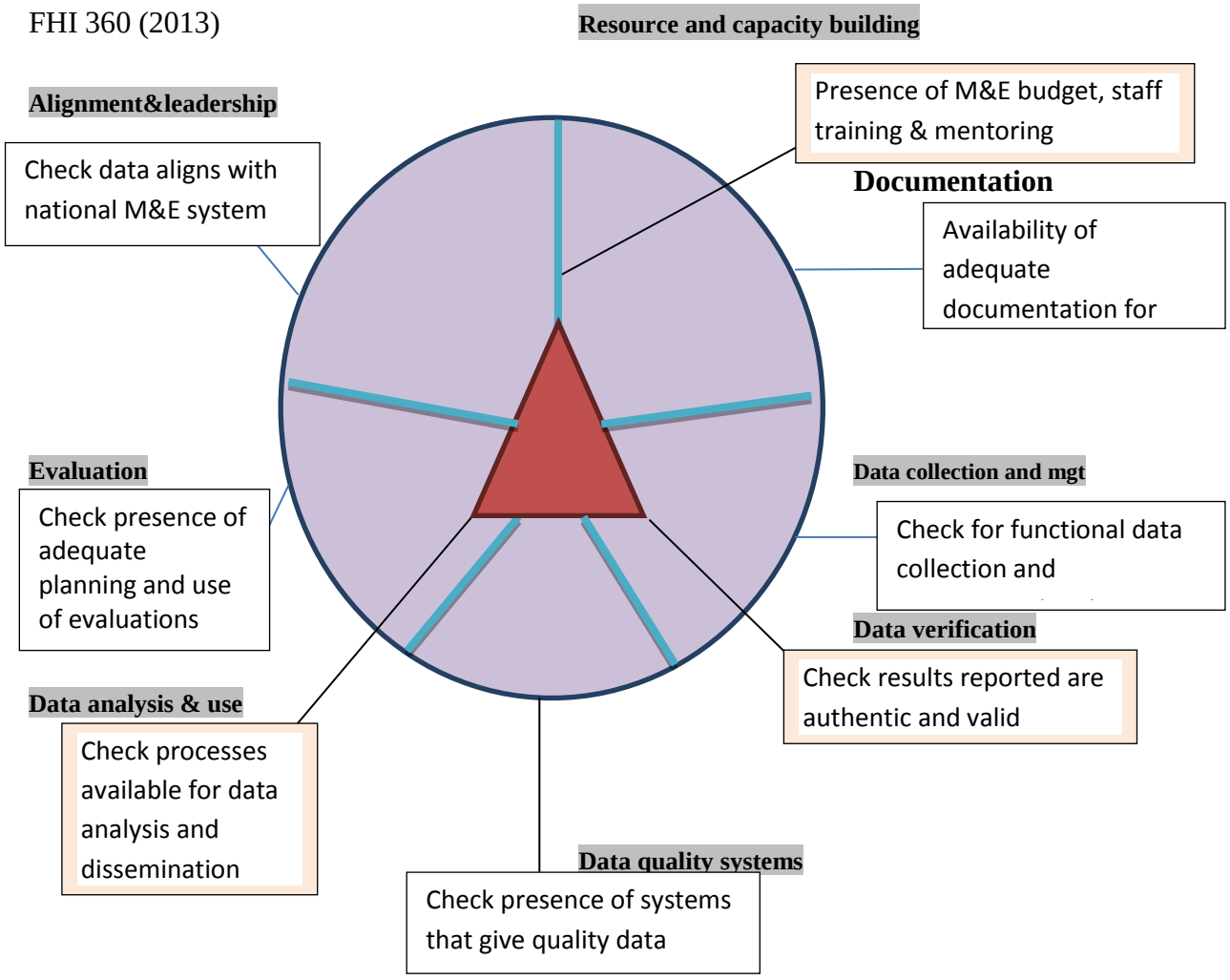
Component	**Operational indicators**
Resource and capacity building	1. M&E budget is between 10-15% of the overall budget.
	2. There's a dedicated staff for M&E
	3. Number of M&E staff is sufficient in relation to the program size.
	4. The M&E team (if>3) has an appropriate skill mix (e.g. data analysis, evaluation, research.
	5. Members of M&E team have received initial orientation onM&E system.
	6. Members of M&E team have been trained at least once in the last 2years.
	7. Members of the M&E team have received mentoring /supervision in the last 6 months
	8. Organization has had an M&E technical assist visit from regions internationally in the last one year.
	9. Members of M&E team have visited partners for capacity building /mentoring in the last 6 months.

2.5 Operational framework

This assessment adopted FHI 360 (2013), the assessment focused on a number of standards for each of the eight domains as indicated below in figure 2.1.

Figure 2.1: Operational framework

Below is the monitoring and evaluation system operational framework adopted from FHI 360 (2013)



CHAPTER THREE: METHODOLOGY

3.1 Introduction

This chapter comprises of the research design, data sources, study area, target population, sample size, sampling procedure, data collection methods and tools, Operationalization of variables, data analysis and ethical considerations.

3.2 Research design

The research design that was adopted was descriptive design which made the researcher to seek information from PCK about its current status (Nath, 2007), (Shamoo and Resnik, 2003). This design enabled the description of PCK M&E system and its functionality.

3.3 Data sources

Data was obtained from both primary and secondary data sources. Primary data was collected from staff whereas secondary data was obtained from SR&D reports, strategic plans, and periodic monthly, quarterly and annual reports**.**

3.4 Study area

The study was performed in the head post offices in Nairobi region namely Citysquare, Ngara, Enterprise, Thika and GPO. A head post office has other offices under it; City square entails Kenyatta National Hospital, GPO entails Ronald Ngala, Tomboya, Jamia. Thika entails 11 post offices, Ngara entails 28 offices and Enterprise has 27 offices.

3.5Target population

It entailed branch managers, sectional heads and staff working in the SR&D section. The table below shows a breakdown of informants from each section.

Table 3.1 Sample size:

Designation	Target population	Sample size
Branch managers		
Office managers -Ngara-28 - Enterprise rd -27 - Thika -11 - GPO- 3 - Citysquare-1	70	70
Sectional heads	8	8
Strategic research and development section: - Manager -1 - Assistant manager -2 - Research officers -3	6	6
Total	84	84

3.5.1 Sampling Procedure

The study adopted purposive sampling approach because of the availability of high volume of data at PCK and the researcher had to place special preference on the management sections. The reason for doing this was to obtain relevant information to aid in meeting the study's objectives. This sampling method is also recommended by FHI 360 (2013) when assessing M&E systems. The study selected 84 respondents who included 6 respondents who are one manager at the SR&D department, 2 assistant managers, 3 research officers, one manager from each of the 8 departments, the head office branch managers who are 6 (namely: GPO, City square, Ngara, Enterprise, Thika) making the total respondents to be 20. The head branch offices hold several other offices which still make the sampling population. GPO holds 3 offices, City Square holds 1 office, Ngara holds 28 offices, Enterprise holds 27 offices and Thika holds 11 offices. The data obtained from the head branch offices was a representation of the post offices under them.

3.6 Data collection methods and tools

3.6.1 Documents review

Documents that were reviewed are M&E plan, Post Office guide, SR&D reports, strategic plans, and periodic reports, quarterly, organizational reports, monthly, data collection tools, and management minutes. Discussions were held with key informants from the SR&D section. Guiding questions were asked from the 8 components (see annex I).

3.6.2 Discussion with key informants

Discussions were held with key informants using the discussion guide (see annex II) adopted from UNAIDS, 2009). The Strategic Research &Development section; who are the manager at the SR&D department, 1 assistant managers, 3 research officers, the head office branch managers were 6 (namely: from GPO I met 3 informants, from City square I met 1, from Ngara I met 25, from Enterprise I met 20, from Thika I met 8 making a total number of 68.

3.6.3 Data collection tools

The tool used was the FHI 360 (2013) Participatory M&E System assessment Tool. The tool highlights the areas that ought to be improved within a system and it also identifies the gaps in an M&E system (Evalued, 2006).

Data was collected using a discussion guide (see annex 2), document review (see annex 1) and questionnaire (see appendix I). These tools were administered during interviews with the informants. The respondents were members of staff of the Strategy Research and Development unit because they had a clear understanding of how the Postal Corporation of Kenya works. This same department also developed the PCK M&E plan.

3.7 Operationalization of Variables

The M&E system was broken down into eight domains based on standards and each standard score was obtained from the questionnaires and document reviews. If a question was awarded two points then it fully met the standards required; (M&E system fully functional), but when it was awarded one point then it partially met the standard (M&E system partially functional), when it was awarded zero, then is did not

meet the standards (M&E system not functional), FHI 360 (2013). To obtain the total number of informants who responded to a question (either yes getting 2 points or partially 1 point).

The overall score of a system if it was rated between 80 percent and 100 percent then it was said to be both locally and internationally compliant and functioning very well. When the system was between 50 percent and 79 percent then it was said to be 'fairly good' meaning it met some of the international and local standards and required improvements in the system to be better. Lastly, if it was between 0 percent and 49 percent then it meant the system was' weak' and didn't meet the local and international standards and required major improvements for it to be up to standard to function accordingly.

3.8 Data analysis

This is the systematic approach of using logical and statistical techniques as a means to describe and assess the gathered data. (Shamoo and Rensik, 2003). Data analysis was carried out using (Microsoft excel 2010) in which the standards were scored against the respective scale described in sub section 3.6. Once the domains were scored percentages, tables and charts were automatically generated by the tool to display the quantitative results of the analysis.

Qualitative data was conducted using thematic analysis from which emerging themes were identified from qualitative data collected from discussion and document review guides. The information was used to support the score for each of the assessed components.

The data collected was analyzed using the following approach for each of the eight domains. There was a series of questions and each of the questions had a maximum score which was dependent on the number of respondents per question. For a yes response the score was 2points and a no response the score was 1 point and for no response there was no score therefore zero point.

For example the for the first domain there were x questions, in which if 3 respondents said yes and 24 said no then the score would be (3x2points) + (24x1point) = 30 points. To obtain the maximum points for this domain it will be (3x2points) +

(24x2point) =54. The percentage 30/54 is 55 percent. To relate the percentage score of resource and capacity building domain according to FHI 360 (2013) is if 100% is equal to 10 (resource and capacity building maximum score), what about 55 percent? The result would be 5.5. So the domain resource and capacity building achieved 5.5 out of 10. This was computed for all domains to get an overall percentage of the PCK M&E system.

3.9 Ethical considerations

Ethical standards must be followed in every research so as to obtain information that is credible and upholding the values of trust, mutual respect and fairness. It also ensures confidentiality, error avoidance, misrepresentation of information and minimizes mistakes (Shamoo A and Resnik, 2015).

The respondents were at liberty to answer the questions or pull out at any given time during the process. It was explained to the interviewees that the information would be strictly confidential and individual privacy upheld. Names of the respondents were hidden and codes used instead.

CHAPTER FOUR: RESEARCH FINDINGS AND DISCUSSION.

4.1 Introduction

The chapter presents results, findings and, interpretation of the assessment, displays the distribution of respondents by site and designation and explains the status of the PCK M&E system as assessed using Participatory M&E System Assessment Tool by FHI 360 (2013).

4.2 Description of the respondents

Table 4.1 below 68 respondents participated in the questionnaire instead of the intended 84. The variance of 16 was due to some managers being on leave, others were in meetings, while others had travelled. They represented 85percent of the sample size which according to (Kothari, 2004) was a good representation.

Table 4.1 Distribution of respondents by site and designation.

Designation	Sample size	Respondents	Variance	Achieved (%)
Office managers				
-Ngara	28	25	3	89
-Enterprise	27	20	7	74
-Thika	11	8	3	73
-GPO	3	3	0	100
-C/SQ	1	1	0	100
Sectional heads	8	6	2	75
SR and D Section	[6]	[5]	1	83
Manager	1	1	0	100
Assistant manager	2	1	1	50
Research officers	3	3	0	100
Total	84	68	16	85 %

Table 4.1 above indicated that from the head post office, 57 managers out of 70 were interviewed, representing 81 percent. Six out of eight sectional heads were interviewed having a percentage of 75. In the Strategic Research and Development Section, 5 out of 6 were interviewed representing 83 percent. Therefore an average of 85 percent of the total respondents was represented which was good.

4.3 Status of the PCK M&E System

The summary scores for the eight domains are as shown in table 4.2 below. The overall score of the assessment of the PCK M&E system was 56 percent. The scores varied from one component to the other, with Data Collection and Management scoring the highest at 60 percent while Data Analysis and Use scoring the lowest at 50 percent. The score for the other components were:- Resource and Capacity Building 53 percent, Plans, Guidelines and Operational Documentation 55 percent, Data Quality Systems 58 percent, Data Verification 52 percent, Evaluation 59 percent and Alignment and Leadership scoring 59 percent.

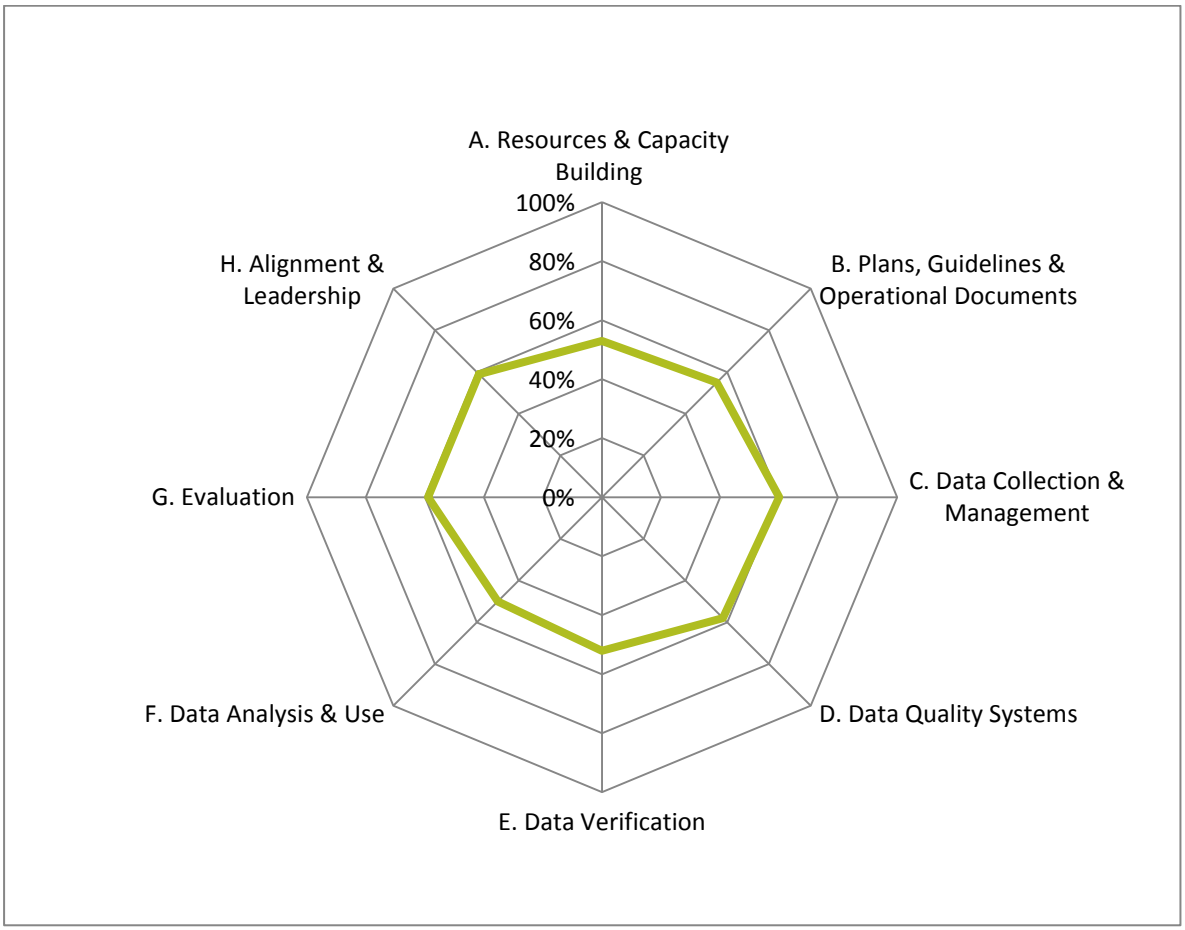
The overall score in this study was similar to (Olwa, 2014) finding where he conducted an assessment employing 12 components by (UNAIDS, 2008) to assess the status of the CEMASTEA system and scored 676 out of 1200 which was 56 percent. However it's dissimilar to (Njoka, 2015) findings for the Family Health options Kenya (FHOK), where the FHI 360 (2013) tool was employed and scored 62 percent compared to 56 percent in this study. This result indicated PCK M&E system is a fairly good system that needs strengthening and improvements on various components so as to meet the international standards of a functional M&E system.

Table 4.2 Summary Assessment score

No	Component	Aggregated score	Actual score %	FHI 360 (2013) Maximum score	FHI 360 (2013) achieved score
1.	**Resource and Capacity Building**	36/68	53	10	5.3
2.	**Documentation**	30/54	55	12	6.6
3.	**Data Collection and Management**	30/50	60	10	6.0
4.	**Data Quality Systems**	30/52	58	17	9.86
5.	**Data Verification**	23/44	52	20	10.4
6.	**Data Analysis and Use**	37/64	50	12	6.0
7.	**Evaluation**	26/44	59	9	5.31
8.	**Alignment and Leadership**	40/68	59	10	5.9
	Overall total	252/444		100	56%

The figure 4.1 presents the results in a radar chart. The scale starts in the center (lowest score) and ends towards the margin (highest score).

Figure 4.2 PCK M&E System Assessment Radar Chart



4.3.1 Resource and capacity building

As shown in table 4.2 above, this domain obtained a score of 53 percent which means it did not attain fully the standards of a functional M&E system. Observations were made on the overall budget for the PCK M&E system 2018/2019 financial year was 3 percent of the overall budget. The expected budget allocation according to (UNAIDS, 2009) should be between 5 to 10 percent, therefore the need to increase the budget. (Njoka, 2015) found 8 percent for the FHOK M&E system which was an excellent case of the required budget. Procedures are well outlined on how to orient new staff. However only one officer is versed with data analysis and evaluation, the rest of the officers need to be continuously strengthened so as to be averse with areas in evaluation and analysis.

Members of the team have not received appropriate skills mix. Only three members out of six have received initial orientation on the M&E system. This finding is consistent with (Olwa, 2014) where the lack of adequate skill mix and the regional training carried out was not related to M&E. It was mentioned through the questionnaire that the M&E team have not had an opportunity to be trained in the last 2 years on emerging M&E issues and this has made them not to provide ideas that would evidently have led to progress.

Supervision is done through the manager of SRD section through review of reports, strategic plan among others. The SRD obtain visits annually from the partners and government who check on whether standards are adhered to. A respondent who was interviewed said;

"The ISO officers visited the headquarters and assessed the M&E system with special reference to ICT and the finance sections."

4.3.2 Documentation

The domain scored 55 percent. This means that the domain is not fully functional. It was mentioned through the interview that the M&E framework was not up to date. Similar to (Njoka, 2015) the researcher recommended the need for an up to date M&E framework. A copy of standard guidelines describing reporting requirements was seen but was discovered it wasn't up to date. Supervision procedures were written but also not up to date.

It was observed that targets were set for different branch offices based on the location and revenue, since some areas attracted more customers than others. Documents on weekly and monthly meetings performed at the Nairobi region were shown to observe whether targets were met and challenges faced.

It was observed through the M&E framework that the work plan was not clearly indicating each person's responsibility. This finding is in line with (Mpofu, 2014) who found out the importance of clarifying roles and aligning resources.

M&E framework did not have a clear link of results, outcomes and outputs. A matrix exists in the framework that has data methods, sources and reporting frequency, but it doesn't show who does what. There was a template used for standard reporting.

Feedback mechanisms have also been provided in the data flow chart in the M&E framework.

4.3.3. Data collection and management

The domain scored 60 percent. This shows its functionality was fairly good. This score was attributed to the introduction of the Post Global System that was launched in 2015 that led to proper collection of information. There was minimal duplication in data collection requirements for staff; this reduced the workload in collecting data. It was observed that not all staff was conversant with the Post Global system, this gave them a challenge in operating the system.

Information that was stored before the launch of the Post Global system in 2015 was difficult to access because it was manually stored .It was observed historical data was not stored properly and up to date. Historical records are still important and need to be well stored, protected and made reliable.

The number of data collection tools is sufficient for program data and not excessive. This finding is in line with the public benefit organization Act, 2013, that develops and uses data tools for proper evaluation and implementation of programs. The data collection tools in Post Global System are aligned to post office tools and donor needs. It was observed there is minimal management support; this means there are persistent data gaps, management agree in meetings their roles and responsibilities, but are not implemented. This finding is consistent with (Karani, 2014) in the assessment he did, when he found project managers lack of commitment in evaluating and implementing M&E system.

4.3.4 Data quality systems

Data quality systems got a score of 58 percent. It was mentioned from a respondent that donor reports are submitted on time. It was also mentioned in the interview that definitions and interpretations of indicators are followed consistently when transferring data from front-line instruments to summary formats and reports.

It was observed that data collection tools/partner reports are filled in completely and correctly, this enables the quality of the data system to be improved and managers can rely on such information to make decisions. There is good feedback reporting from

the branch offices on a daily basis with the use of PD44 (a form that provides information of the overall operations of every office that is filled twice monthly). It enabled the management know whether customers were being served well and whether offices were meeting their targets as they should. It was observed all reports before being sent to the SRD section, were to be verified and checked by the branch managers for any errors before submission to the head office.

The compliance section also monitor by auditing other post offices as is the requirement. It was observed from the yearly audit schedule that the compliance team was lagging behind in their inspection of offices. One of the respondents said *'it was due to increased workload and inadequate capacity to travel to branch offices that caused the lag.*'

The Post Global system had eradicated the problem of double counting and had also limited the error calculations. The system had also identified a clear link between data entry forms and summary formats that had largely reduced transcription errors. This finding was consistent with (Nalianya, 2014) who found that conducting of routine data quality assessments detect areas of difficulty and help achieve quality data.

4.3.5 Data analysis and use

This domain scored 50 percent, the lowest score amongst the eight domains. This meant that a lot of improvement was required to ensure it functioned accordingly. It was observed during the discussions the management rarely use the analyzed data to make decisions despite its importance. The collected data reported and entered into the database is not utilized for decision making by managers. It was reported through the discussions about the increased closure of many of the post office branches and reduction of office space was because of slow business.

The lack of data analysis results to lack of information being used for decision making and therefore lack of innovation. From the discussion a respondent mentioned that *'the lack of data analysis by supervisors and managers has made the Corporation not to be competitive in the courier industry and lag behind in terms of technology.'*

There was evidence on written procedures and reports that ensure regular review of M&E data by programme managers but they are not implemented.

4.3.6 Data verification

Data verification scored 52 percent. This indicated that the domain was fairly good. Data verification was conducted by going back to raw data and recounting the following indicators: 1.) the number of branch offices providing reports on a daily basis based on revenue. 2) The number of branch offices providing reports on a weekly basis based on revenue. 3) The number of branch offices providing reports on a monthly basis based on revenue. The number of branch offices providing reports on a daily basis was found to be within 5% of the reported data. The number of branch offices providing reports on a weekly basis was found to be 5% of the reported data and the number of branch offices providing reports on a monthly basis was found to be between 5-10 % of the reported data. We will give a +/- 10% margin error during reporting one of the indicators was above the margin. The domain has a percentage of 52%.

4.3.7 Evaluation

The component scored 59 percent; this indicates it's 'fairly good' system; that needs strengthening to obtain the required standards. Evaluation activities are explicitly displayed in the M&E plan, Findings from past evaluations have not resulted in program improvements examples are withdrawal of certain banking services who partnered with PCK, withdrawal of payment services, the collapse of Postapay (a financial service), and the withdrawal of a large number of customers on box rentals amongst others. They should be equipped with enough funding to conduct evaluations adequately. According to (Njoka, 2015), evaluations are donor driven and according to (Nalianya, 2017) findings; there is a strong relation between monitoring and evaluation plans, human resource and stakeholder participation.

4.3.8 Alignment and leadership

This domain was rated at 59 percent which meant it was 'fairly good'. It was observed that irregular supervisions are conducted that are aligned with national and international standard; reports have been submitted to the relevant government departments according to schedule and data tools. It was noted that the program did not present components of its M&E system at national / international conferences or other meetings in the last 2 years.

4.3.9. Determining people, partnerships and planning in effectiveness of the PCK M&E system

This domain is in line with resource and capacity building and scored 53percent. It was discovered through the administered questionnaires that the roles and responsibilities of the M&E unit were not clearly defined in the SRD section and also the branch offices because of inadequate staff. An officer is meant to execute any function that he/she is given based on the urgency. This affected the quality of work done because one cannot be an expert in all areas. PCK works in conjunction with other partners e.g. ISO and government, NGOS, service industry companies like G4s, DHL, Longhorn amongst others to ensure they try to adhere to standards of operations and processes. Indicators are included in the work plan, although it's affected by funding restrictions especially from government.

4.3.10 Determining how data collection, capturing and verification meet standards of PCK M&E system.

The component is in line with data collection and management and data verification which scored 60 percent and 52 percent respectively. This meant the domain is partially functional and some of the standards were not in line with the M&E system standards. Data collection tools were sufficient for the program needs. It was observed that several people were maintaining the database, which was still not up to date. Feedback from supervisors was provided from time to time on results and audits performed were not up to schedule.

4.3.11 Determining how data is utilized and disseminated

This component is in line with data analysis and use and scored 43percent. It did not meet the functional standards of an M&E system. It was observed that data collected was not utilized for decision making by management. Reports are collected from departments and branch offices some on daily, weekly and monthly basis. Findings from evaluations at PCK M&E system were not being utilized due to lack of support and commitment by managers to improve processes and become innovative. It was mentioned through the interviews; the drastic reduction of customer box rental use, the reduction of postal services like money order and postal order by schools and other institutions, the reduction of post office rental space because of decreased

business and the withdrawal of some agency services. For this reason standards are partially being met by the organization compromising on their output according to (Karani, 2014).Findings show that increased accountability and transparency, assisted organizations better program interventions, increased learning and improved evidence based decision making according to (Ssekamattel, 2018).

It was observed after a visit in the branch office that once a delivery officer completed his daily mail deliveries he did not update them in the Post Global System, and this made tracking of delivered items difficult. It also made performance of inquiries for customers difficult for supervisors to perform because of incomplete information..It was mentioned by the Economic Recovery Strategy the need to improve economic governance through integration of systems of M&E that would provide sound means for evaluating efficiency of programs.

CHAPTER FIVE: SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1. Introduction

This chapter summarizes the findings, conclusion and recommendations of the assessment and presents recommendations of each of the eight domains and identifies key areas of strength and gaps that require improvement.

5.2 Summary of Findings

The assessment was conducted to establish if the PCK M&E system met the standards of a functional M&E system. This was achieved through the eight components by FHI 360 (2013).The first objective focused on determining how the people, partnerships and planning to achieve the effectiveness of PCK M&E system. Second, to determine the extent to which data collection, capturing and verification meet the standards of the M&E system. The last objective determined how data was disseminated and utilized in the PCK M&E system.

The PCK M&E system scored 56 percent. As shown in table 4.2 above the scores varied based on the eight components where Data Collection and Management component scored 60 percent being the highest and Data Analysis and use component scored 50percent being the lowest.

The assessment established that the PCK M&E system had a limited budget allocation of only 3% which was not adequate funding to carry out evaluations and program implementations. PCK had not assessed the skills and trained staff on emerging M&E issues for the last 2years. We also noticed there was insufficient staff in the SRD section in relation to the program size at PCK. Not all members of the M&E team had received initial visits within the year with special reference to ICT and finance section.

It was noticed that program managers take part in the development of the M&E plan and link it to the overall M&E plan. PCK makes available supervision and audit results and monitors endorsements highlighted on the various visits. It was noted audits were not up to date since branch offices were not visited according to schedule due to lack of funding.

Procedures that changed were not up dated and recorded making the documentation unreliable. There was good feedback from the branch offices and sections which were collected using data collection tools that were filled correctly and completely; this increased the quality of information produced. There was lack of full management support on decisions made making implementation difficult to actualize. Program was aligned with that of national and international partners and reports were submitted according to schedule.

The assessment established that findings from past evaluations had not resulted to any program improvements. This explained the stagnation and lack of innovation and growth by the corporation.

5.3 Conclusion

It is evident that the PCK M&E system is a good system that was rated 'fairly good' with the score of 56 percent. The system needs improvement in most of the domains to be able to comply with both the local and international standards of a functional M&E system. Further the assessment sought to determine how the people, partnerships and planning to achieve the effectiveness of PCK M&E system, the extent to which data collection, capturing and verification meet the standards of the M&E system and determine how data is disseminated and utilized. The various components attained various. The well-functioning domains include resource and capacity building, documentation, data collection and management, data quality systems, data verification and alignment and leadership. The non – functional areas include; data analysis and use and evaluation. The key strengths of the PCK M&E system include: well outlined procedures, strong partnerships and standardized data collection tools. The key gaps that were identified include: minimal budget, inadequate staff lacking appropriate skill mix, documentation of M&E procedures, lack of data analysis and use and lastly no evidence that data analysis has led to improvements in program design or implementation. There is need for most of the components to be improved for it to function according to complied local and international standards. The assessment further recommends various measures to be put in place to ensure all the components are functional as they should and as defined by (UNAIDS, 2009 a&b).

5.4 Recommendations

From the assessment it is evident that improvements need to be done for the M&E system to reach the required standards of a functional M&E system as prescribed by UNAIDS (2009). The following below are the recommendations:

5.4.1 Resource and capacity building

The M&E unit within its framework has 6 M&E staff and there is need to increase the staff in relation to the program size to better M&E outputs. They include one manager, two assistant managers and three research officers. The M&E staff should be trained with the appropriate skill mix so as to be competent and able to execute system functions accordingly. They should attend workshops, go for trainings and be informed on the emerging M&E issues to improve the system.

There is urgent need to increase the budget to the recommended between 5 to 10 percent since the amount allocated was minimal. Supporting evidence should be shown to management attached with the M&E plan so that they see the need and provide the resources accordingly.

The management and the technical group must be involved in the M&E work plan generation and overall functioning of the PCK M&E system. They should collaborate with the M&E team so as to meet the overall goals and objectives of the organization.

5.4.2 Documentation

In the PCK M&E system it was realized that documents are not properly stored, not up to date and unavailable when needed. There is need for a way to keep documents in order and retrieved easily when required. This will assist on proper decision making and build customer trust based on accountability and reliability. Procedures that have since been changed should be up to date so that they remain relevant and up to the requited standard. The M&E framework should be reviewed and show the link between the M&E organogram and the organization organogram.

5.4.3 Data collection and management

It was observed the management do not support the staff yet they required to work as a team. The management should support the staff and the decisions they make should

be in line with the findings of the information collected from reports. Historical data should be well stored under lock and key for future reference.

5.4.4 Data quality systems

In the PCK M&E system, it was noted from a respondent that donor reports are submitted on time. It was also mentioned that definitions and interpretations of indicators are followed consistently when transferring data from front-line instruments to summary formats and reports. This should continue that way. It was observed that data collection tools/partner reports are filled in completely and correctly, this enables the quality of the data system to be improved. There is good feedback reporting given from the branch offices on a daily basis. This information enables the branch managers know whether customers are being served well and whether offices are meeting their targets as they should. The data collection tools should have indicators that are measurable so as to ensure data quality from collection of data to analysis of data.

5.4.5 Data analysis and use

The PCK M&E system can improve its accessibility, reliability and use of data since it scored poorly in this domain. The management should utilize the analyzed data to make informed decisions, by doing so it will increase customer base and also revenue growth will be realized.

5.4.6 Data verification

Data verification should be done on frequent basis so that errors are identified and corrected before the reports are disseminated to the partners. They should be correct, sent on time and error free so that they can be utilized for decision making.

5.4.7 Evaluation

In the PCK M&E plan the evaluation activities are explicitly outlined in the M&E plan, which is encouraged. Findings from past evaluations must be implemented so as to see program improvements and meet program objectives.

A clear mechanism should be made in the evaluation reports on the recommendations so as to be included in the M&E plan and strengthen of use evaluations in the organization for improvement.

5.4.8 Alignment and leadership

In the PCK M&E system it was observed that reports have been submitted to the relevant government departments according to schedule; this should continue that way. The PCK M&E system should fully align its activities accordingly with those of national and international partners.

The people, partnerships and planning component in the PCK M&E system need to be improved and strengthened so as to be effective and up to the established standard. PCK should set up an M&E unit for supervising, coordinating all M&E functions and hiring skilled and experienced staff who will provide the appropriate skills for the organization. It should prepare a clear M&E plan with clearly define roles and written procedures and have regular analysis leading to program improvement.

In data collection, capturing and verification it's evident that the standards of a functional M&E system were partially met; but with improvements can perform better. Use of data obtained from branch offices should be encouraged since it's used to influence policy and make better decisions. The PCK management should utilize the data generated from the M&E system if it wants to increase its revenue and remain relevant in the service industry and compete.

A lot of improvements need to be done for PCK M&E system to fully comply with the established standards of a functional M&E system. Similar to (Mpofu, 2014), who mentioned; empower the staff with skills, realign the resources to M&E, collaborate with stakeholders and update M&E framework which will definitely lead to an improved and sustainable PCK M&E system.

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Declaration of originality by student.

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2. I declare that this _____(Thesis, project, essay, assignment, paper, report etc.) is my original work and has not been submitted elsewhere for examination, award of a degree or publication. Where other people's work or my own work has been used, this has been properly acknowledged and referenced in accordance with the University of Nairobi's requirements.
3. I have not sought or used the services of any professional agencies to produce this work.
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Date _____

Appendix I: QUESTIONNAIRE.

Components of the M&E system

1.0 Resource and capacity building

1.1 Do you know the percentage of the budget spent on the PCK M&E system?

a) Yes ( ) b) no ( ) c) not applicable ( )

If yes what's the approximate amount in Kshs_____

1.2 Do you get funding for the PCK M&E system?

a) Yes( ) b) no ( ) c) not applicable ( )

Comment _____

1.3 Is the staff in the strategic research and development section sufficient?

- a)Yes ( ) b) no ( ) c) not applicable ( )

Comment _____

1.4 Is the staff adequate to manage the PCK M&E system?

a)Yes ( ) b) no ( ) c) not applicable ( )

Comment _____

1.5 Does the staff get training on data collection, data analysis and reporting?

a) Yes( ) b) no ( ) c) not applicable ( )

Comment _____

1.6 Are the trainings provided sufficient?

a) Yes ( ) b) no ( ) c) not applicable ( )

*If no what needs to be done to have a well trained staff?*_____

Comment _____

1.7 Are the goals and objectives measurable and time bound?

a) Yes ( ) b) no ( ) c) not applicable ( )

Comment _____

1.8 Does the organization collaborate on its own or it works with partners?

a) Yes ( ) b) no ( ) c) not applicable ( )

Comment _____

1.9 Is the M&E plan well developed?

a) Yes ( ) b) no ( ) c) not applicable ( )

If it's not well developed Comment

_____

1. Is there a procedure that exists for orienting new partner staff on the M&E system in case of staff turnover?

a) Yes ( ) b) no ( ) c) not applicable ( )

Comment _____

2.0) Documentation

2.1) Is the M&E plan up to date?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

2.2) Are procedures documented in writing?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

2.3) Have targets been set for key performance indicators?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

2.4) Does the documentation available meet the donor and government Standards?

a) Yes ( )b) No ( ) c) not applicable ( )

Comment _____

2.5) Are there national guidelines on how to document procedures for collecting, recording and reporting in the Corporation?

a) Yes ( )b) No ( ) c) not applicable ( )

Comment _____

2.6) Do you perform office audits to ensure processes are being followed accordingly?

a) Yes ( ) b) No ( ) c) not applicable ( )

*if yes how frequent ?*Comment _____

2.7) Is historical data well kept, up to date and readily available?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

2.8) Are reports submitted on time?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

2.9) Is there evidence to show site visits in the last 12 months have been carried out and review of data quality?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

2.10) Is there a current PCK M&E work plan?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

2.11) Were you involved in the development of the work plan?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

3.0) Data collection and management

3.1) Are there systems in place to detect missing data?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

3.2) Are the indicators too many?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

3.3) Are the indicators well developed?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

3.4) Do you frequently collect data on indicators in the M&E plan?

a) Yes ( ) b) No ( )c) not applicable ( )

If yes how frequent (daily, monthly weekly, quarterly or annually)

Comment _____

3.5) Do you have people responsible for collecting data for all indicators in the M&E plan?

a) Yes ( ) b) No ( )c) not applicable ( )

If yes who are they? Comment _____

3.6) Is there duplication of data collection requirements for staff?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

3.7) Does the data management guidelines exist in terms of filing systems for ease of obtaining data?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

3.8) Does the organization have M&E databases which are up to date?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

3.9) Is the number of data collection tools sufficient and not excessive for the program?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

4.0) Data quality systems

4.1. Is there written guidance in filing data collection tools?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

4.2. Are there steps taken to limit calculation errors?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

4.3. Is there a clear link between fields on data entry forms and summary or compilation formats to reduce transcription errors?

a) Yes ( ) b) No ( )c) not applicable ( )

Comment _____

4.4. Are there systems in place to adjust for double counting?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

4.5. Are there systems in place to adjust for missing data?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

4.6. Are data collection tools filled in completely?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

4.7 Are data collection tools filled in correctly?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

4.8 Are expected donor reports submitted on time?

Are data collection tools filled in completely?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

4.9 Is there evidence that supervisory site visits have been made in the last 12 months where data quality has been reviewed?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

4.10 Is there evidence that corrections have been made to historical following data quality assessments?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

5.0) Data verification

5.1 Are supporting documents accurate for the 3 sampled indicators?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

6.0) Data analysis and use

6.1) Is majority of the data collected reported?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

6.2) Are reasons for over or under performance documented accordingly?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

6.3) Has at least one data review & interpretation meeting has taken place in the last quarter at the national/program level involving managers and program/technical staff?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

6.4) Is there evidence that data analysis has led to improvements in program design or implementation?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

6.5) Has a gender analysis has been conducted to help programs understand and integrate gender issues

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

6.6) Is monitoring data accessible to relevant technical staff and manager(s)

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

6.7) Is the data collected utilized?

a) Yes ( ) b) No ( ) c) not applicable ( )

if yes how? Comment _____

6.8) Do you indicate with reason when targets are not met?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

6.9) Is there evidence information is used?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

7.0) Evaluation

7.1) Are the evaluation activities outlined in the M&E plan?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

7.2) Do you have reports of any past evaluations?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

7.3) Do you have findings of past evaluations used to improve processes?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

7.4) Is relevant personal data maintained accordingly and securely?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

7.5) Are evaluation results disseminated to all stakeholders?

a) Yes ( ) b) No ( ) c) not applicable ( )

No why? Comment _____

7.6) Is there a program evaluation agenda for PCK?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

7.7) Do procedures exist to coordinate and evaluate standards and methods?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

8.0) Alignment and leadership

8.1) Are reports submitted to relevant government stakeholders according to schedule?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

8.2) Are data collection tools aligned with those of other government organizations?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

8.3) Are regular supervision activities performed according to standards?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

8.5) Does PCK have defined management processes?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

8.6) does PCK participate in donor / national M&E meetings?

a) Yes ( ) b) No ( ) c) not applicable ( )

Comment _____

ANNEXES: DATA COLLECTION TOOLS

ANNEX 1: DOCUMENT / RECORDS REVIEW GUIDE CHECKLIST

Introduction

This is a guide that will assist the assessor to check certain areas of the PCK M&E system through review of available documents and records such as post office guide, SR&D reports, and strategic plan among other documents. The score should be along parameters; fully functional, partially functional or not functional at all.

a. Resource and capacity building

1. Check if the M&E budget is between 5 percent – 10 percent of the overall budget.
2. Check if there is dedicated staff for M&E.
3. Check if the number of M&E team staff is sufficient in relation to the program size.
4. Check if the M&E team (if >3 persons) has an appropriate skill mix. (e.g data analysis, evaluation/research).
5. Check if the M&E team has received initial orientation on the M&E system.
6. Check if the members of the M&E team have been trained at least once in the last two years.
7. Check if partner M&E staff has received training.
8. Check if a procedure exists in orientation of M&E staff.
9. Check if M&E team has visited partners for capacity building at least once in the last 6 months.
10. Check if member partners of M&E teams have visited all sites at least once in the last 1year for capacity building /mentoring.

b. Documentation

1. Check if there is an M&E plan which is up to date.
2. Check whether implementing partners have a copy of standard guidelines describing reporting requirements (what to report, due dates etc.).

3. Check if supervision procedures are documented in writing (how often and what to look at, what next).
4. Check if targets have been set for key performance indicators.
5. Check if M&E plan has graphic framework linking project goals, immediate results and outcome.
6. Check if PMP matrix includes indicators for measuring input, outputs, and outcomes and where relevant, impact indicators and are they linked to the project.
7. Check if there is an up to date implementation timeline for M&E activities is available.
8. Check if there is a standard reporting template.
9. Check if the PMP has a data flow chart that clearly demonstrated how data reaches managers and the donors.
10. Check if there is a documented confidentiality protocol and whether it's well maintained.

c. Data collection and management

1. Check if the training documentation is available and meet donor and government standards.
2. Check if the data collection tools include all required project indicators.
3. Check if there is no or minimal duplication in data collection requirements for staff/partners. (They are not required to report the same activity on more than one tool).
4. Check if data management guidelines exist. (Backup procedures for electronic data, filing systems for paper forms).
5. Check if historical data is properly stored, up to date and readily available.
6. Check if the project has an electronic database that is up to date.
7. Check if data service is disaggregated by gender and age and training by gender.
8. Check if the number of data collection tools is sufficient for the program needs and not excessive.
9. Check if there is adequate documentation / in house capacity for the program database so that it can be modified by one or more staff.

10. Check if there is management support for following up any persistent data gaps with partners.

d. Data quality systems

1. Check whether operational indicator definitions are consistent with standard guidelines.
2. Check whether there are written guidelines on filing data collection tools is evident at the partner or service delivery level.
3. Check whether there is clear link between fields on the data entry forms and summary compilation formats to reduce transcription error.
4. Check whether systems are in place to adjust for double counting.
5. Check whether systems are in place for detecting missing data.
6. Check whether standards forms/tools are used consistently within and between partners.
7. Check whether at least once a year program / technical staff review completed tools at the site or partner level completion of accuracy or service quality issues.
8. Check whether data collection tools / partner reports are filled in completely. (take sample).
9. Check whether data collection tools / partner reports are filled in correctly. (take sample).
10. Check whether all expected partner reports have been received.
11. Check whether donor reports are submitted on time
12. Check whether the data reported corresponds with donor specified report periods.
13. Check whether feedback is provided to all service points of their reporting.
14. Check whether there is evidence that corrections have been made to historical data following data quality assessments.
15. Check whether all sites are reporting to all required indicators.
16. Check whether there is evidence that supervisory site visits have made in the last 12months where data quality has been reviewed.

e. Data verification

Check whether supporting documents are accurate for 5 sampled indicators. (This is filled for each sampled indicator).

The data verification is done by recounting the data from the source documents and comparing the same with reported data.

A verification factor is calculated by dividing reported data with the recounted data for each indicator. A verification factor of more than 100 percent means accuracy. However a 5 percent margin error is allowed and considered an accurate margin. In the case of under reporting then the indicator has not met and in the case of over reporting then the indicator has fully meet the required accuracy.

f. Data analysis and use

1. Check if majority of the data collected is reported.
2. Check if the client information is entered in the database then it's possible to analyze what services each person has received.
3. Check for reasons of under/over performance (targets).
4. Check whether written procedures are in place to ensure regular review of M&E data by project managers, m&e staff and technical staff.
5. Check whether one data review & interpretation meeting has taken place in the last quarter at the national program level.
6. Check if there are regular analysis that includes trends in performance indicators over time. E.g. monthly, quarterly.
7. Check if there is evidence showing data analysis has led to improvements in program design and implementation.
8. Check whether donors or government agencies have received an analysis or attended a meeting with results on over and above reporting minimum requirements.
9. Check whether a gender analysis has been conducted to help programs understand and integrate gender issues.

g. Evaluation

1. Check whether evaluation activities are outlined in the M&E plan.
2. Check whether an outcome or impact evaluation is planned for the program.
3. Check if a process evaluation has been carried out within the last 3years or less.
4. Check what baseline data is available within the first 2 years of the project.
5. Check if there are any reports on any past evaluations.
6. Check findings from past evaluations that have resulted to improvements of the program.
7. Check whether evaluation designs are adequately outline in a protocol.
8. Check for any evaluation protocols such as analysis plan, ethical provisions, budget, timelines etc.
9. Check for relevant personal data maintained according to national or international confidentiality guidelines.
10. Check if evaluation results have been disseminated to stakeholders.
11. Check if there is a mechanism in place for obtaining periodic feedback on service acceptability beneficiaries.

h. Alignment and leadership

1. Check whether reports have been submitted to the relevant government departments according to schedule.
2. Check whether data collection tools are aligned with those of the government.
3. Check whether regular supervision activities are conducted to ensure activities are aligned with national / international standards.
4. Check whether program participated in national M&E fora.
5. Check whether program participated in donor M&E fora.
6. Check whether program has presented components of its M&E system nationally in the last 2 years.
7. Check whether program has presented components of its M&E system internationally in the last 2 years.
8. Check whether one of the elements in the program have been published in review publications in the last 2-3 years.

ANNEX:2 DISCUSSION GUIDE

Introduction

A greeting, my name is Martha Nasimiyu. I am assessing the M&E system of Postal Corporation of Kenya which is the focus of my project for M.A. in monitoring and evaluation of Population and development programmes from the University of Nairobi, Population Studies and Research Institute (PSRI). I would like to discuss with you on the PCK M&E system and assure you that the information you provide will be confidential and will only be used for analysis and reporting purposes. Your name will not be quoted anywhere and the assessment results will be used to improve the system. You have the freedom to answer or not to answer in the discussion and may choose to freely terminate the discussion at any point. The discussion will take approximately 20 minutes.

Do you agree to participate? (If *no then move to the next sample group). But if yes (warm up the discussion by asking how long they have been in the organization and what section they work).*

a) Resource and capacity building

1. The M&E budget is between 5-10 percent of the overall budget.
2. There is a dedicated staff for M&E.
3. The number of M&E staff is sufficient in relation to the program size.
4. The M&E team (if >3 persons) has an appropriate skill mix. (e.g. data analysis, evaluation, research etc).
5. Members of the M&E team have received initial orientation of the M&E system.
6. Members of the M&E team have been trained at least once in the last 2 years.
7. Members of the M&E team have received mentorship from their supervisors within the last 6 months.
8. Members of the M&E team have visited partners for capacity building /mentorship in the past 6 months.

b) Documentation

1. The monitoring evaluation and learning framework (meal), is up to date.
2. Implementing partners have hard copy standard guidelines describing requirements of the M&E system.
3. Supervision procedures are reported in writing. (How often, what to look for, what next).
4. MEAL has graphic results linking the project goals, outcomes, outputs.
5. All MEAL indicators have operational definitions. (Performance indicator reference sheet).
6. MEAL work plan indicates persons responsible for each activity.
7. Documented confidentiality protocol is available. (Personal records maintained).
8. An up to date implementation timeline for M&E activities is available.
9. M&E plan has a data flow that demonstrates how data flows to the managers and donors.

c) Data collection and management.

1. Approved data collection tools include all required project indicators.
2. Historical data is properly stored, up to date and available.
3. Project has an electronic database that is up to date.
4. Data service is disaggregated by gender and age and training by gender.
5. Number of data collection tools is sufficient for the program needs and not excessive.
6. Adequate documentation / in house capacity for the program database so that it can be modified by one or more staff.
7. Management support for following up any persistent data gaps with partners.

d) Data quality systems

1. Operational indicator definitions are consistent with standard guidelines.
2. Written guidelines on filing data collection tools evident at the partner or service delivery level.
3. Clear link between fields on the data entry forms and summary compilation formats to reduce transcription error.

4. Systems are in place to adjust for double counting.
5. Systems are in place for detecting missing data.
6. Standards forms/tools are used consistently within and between partners.
7. At least once a year program / technical staff review completed tools at the site or partner level completion of accuracy or service quality issues.
8. Data collection tools / partner reports are filled in completely. (Take sample).
9. Data collection tools / partner reports are filled in correctly. (Take sample).
10. All expected partner reports have been received.
11. Donor reports are submitted on time
12. Data reported corresponds with donor specified report periods.
13. Feedback is provided to all service points of their reporting.
14. There is evidence that corrections have been made to historical data following data quality assessments.
15. All sites are reporting to all required indicators.
16. There is evidence that supervisory site visits have made in the last 12months where data quality has been reviewed.

e) Data verification

Supporting documents are accurate for 5 sampled indicators. (This is filled for each sampled indicator). The data verification is done by recounting the data from the source documents and comparing the same with reported data.

A verification factor is calculated by dividing reported data with the recounted data for each indicator. A verification factor of more than 100 percent means accuracy. However a 5 percent margin error is allowed and considered an accurate margin. In the case of under reporting then the indicator has not met and in the case of over reporting then the indicator has fully meet the required accuracy.

f) Data analysis and use

1. Check if majority of the data collected is reported.
2. Information is entered in the database then it's possible to analyze what services each person has received.
3. Reasons of under/over performance (targets).

4. Written procedures are in place to ensure regular review of M&E data by project managers, M&E staff and technical staff.
5. One data review & interpretation meeting has taken place in the last quarter at the national program level.
6. Regular analysis that include trends in performance indicators over time. E.g. monthly, quarterly.
7. There is evidence showing data analysis has led to improvements in program design and implementation.
8. Donors or government agencies have received an analysis or attended a meeting with results on over and above reporting minimum requirements.
9. Gender analysis has been conducted to help programs understand and integrate gender issues.

g) Evaluation

1. Evaluation activities are outlined in the M&E plan.
2. Outcome or impact evaluation is planned for the program.
3. Process evaluation has been carried out within the last 3years or less.
4. Baseline data is available within the first 2 years of the project.
5. Presence of reports on any past evaluations.
6. Presence of findings from past evaluations that have resulted to improvements of the program.
7. Evaluation designs are adequately outline in a protocol.
8. Evaluation protocols such as analysis plan, ethical provisions, budget, timelines etc. are adhered to.
9. Maintenance of relevant personal data according to national or international confidentiality guidelines.
10. Evaluation results have been disseminated to stakeholders.
11. Mechanism in place for obtaining periodic feedback on service acceptability beneficiaries.

h) Alignment and leadership

1. Reports have been submitted to the relevant government departments according to schedule.
2. Data collection tools are aligned with those of the government.

3. Regular supervision activities are conducted to ensure activities are aligned with national / international standards.
4. Program participated in national M&E fora.
5. Program participated in donor M&E fora.
6. Program has presented components of its M&E system nationally in the last 2 years.
7. Program has presented components of its M&E system internationally in the last 2 years.
8. One of the elements in the program has been published in review publications in the last 2-3 years.

ANNEX: 3 DETAILED ASSESSMENT RESULTS

A. Resources & Capacity Building

	Detailed Checklist	Means of Verification	Rating	bservations, rationale for rating and recommendations
1.	The M&E budget is between 5%-10% of the overall program budget	Discussion	**Partially meets**	Not sure I guess so, it's part of policy guidelines
2.	There is/are dedicated staff for M&E	Organogram	**Partially meets**	Yes and no
3.	The number of M&E team staff is sufficient in relation to the program size (about 1 person per $1M/yr)	Organogram	**Does not meet**	Need for more staff
4.	The M&E team (if >3 persons) has an appropriate skills mix (e.g. data analysis, evaluation/ research, HMIS)	Discussion	**Partially meets**	Not enough skills
5.	Members of the M&E team have received initial orientation on the project M&E system	Records review; discussion	**Partially meets**	Three officers have received orientation and no written procedures indicated.
6.	Members of the M&E team have been trained at least once in the last two years	Records review; discussion	**Partially meets**	Three officers have been trained the other three learn on the job.
7.	Members of the M&E team have received a mentoring/supervision from their supervisor in the last 6 months	Records review; discussion	**Partially meets**	Supervision is done by the manager in collaboration with the inspection team. They conduct data collection, perform audits, data verification.

8.	Program has had an M&E TA visit from HQ/region at least once in the last year	Records review; discussion	**Partially meets**	Yes they have had visits
9.	Partner M&E staff (including those at site level) have all received initial training on the project M&E system	Records review; discussion w/ team partners	**Partially meets**	Not all have received training
10.	A procedure exists for orienting new partner staff on the M&E system in case of staff turnover	Discussion	**Partially meets**	Procedures are not present on orienting new staff.
11.	Partner program management staff have received training or orientation on project M&E requirements	Records review; discussion	**Partially meets**	Some have received training others not due to financial constraints
12.	Members of the M&E team have visited partners for capacity building/mentoring at least once in the past 6 months	Records review; discussion w/ team partners	**Partially meets**	Am not aware
13.	Members of partner M&E teams have visited all sites at least once in the past 1 year for capacity building/mentoring	Records review; discussion w/ team partners	**Partially meets**	Visit from ISO officers, visit head offices with special reference to ICT and finance sections

B. Plans, Guidelines & Operational Documents

Detailed Checklist	Means of Verification	Rating	Observations, rationale for rating and recommendations
1. There is an M&E plan (or PMP) which is up to date	Records review	**Partially meets**	It's not fully up to date
2. Implementing partner(s) have a copy of standard guidelines describing reporting requirements (what to report on, due dates, data sources, report recipients, etc.)	Records review w/ partners	**Partially meets**	Presence of copy of standard guidelines but without clear dates
3. Supervision procedures are documented in writing (how often, what to look at, what happens next)	Records review	**Partially meets**	Supervision procedures documented not up to date
4. Targets have been set for key performance indicators	Records review	**Partially meets**	Targets set based on location and revenue capability per office
5. PMP has a graphic results framework linking project/ program goal, intermediate results and outcomes or outputs	Records review	**Partially meets**	Its present
6. PMP/M&E plan or other project design document has an organogram describing the organization of the M&E unit in relation to the overall project team	Records review	**Partially meets**	Doesn't describe all team members
7. A PMP matrix exists that lists indicators, annualized and cumulative LOP targets, data sources, baselines, methods, reporting frequency, and responsible entities	Records review	**Partially meets**	It exists in the M&E framework but it doesn't show staff responsibilities.

8.	PMP includes indicators for measuring input, outputs, outcomes and where relevant, impact indicators, and the indicators are linked to the project objectives	Records review	**Partially meets**	Not sure
9.	All PMP indicators have operational definitions e.g. performance indicator reference sheets	Records review	**Partially meets**	Yes
10.	An up-to-date implementation timeline for M&E activities is available	Records review	**Does not meet**	Not aware
11.	M&E work plan includes regular internal DQA activities	Records review	**Partially meets**	Partially
12.	The up-to-date M&E work plan indicates persons responsible for each activity, including any M&E-related roles for the program/technical staff and implementing partners	Records review	**Partially meets**	Role and responsibilities are not clear in the work plan
13.	Implementing partner(s) use a standard reporting template	Records review	**Fully meets**	Yes there is template for standard reporting
14.	M&E plan/PMP has a dataflow chart that clearly demonstrates how data reaches program managers and donors/government	Records review	**Partially meets**	Yes its present
15.	Documented confidentiality protocol is available (If personal records maintained)	Records review	**Partially meets**	Documents not well kept

C. Data Collection & Management

Detailed Checklist		Means of Verification	Rating	Observations, rationale for rating and recommendations
1.	Training registers/documentation are available and meet donor standards	Records review	**Does not meet**	documentation available
2.	Data collection tools include all required program/project indicators	Records review	**Partially meets**	Ye include all the required indicators.
3.	There is no (or minimal) duplication in data collection requirements for staff/partners, i.e. they are not required to report the same activity on more than one tool	Discussion/ records review	**Does not meet**	Duplication of same reports
4.	Data management guidelines exist (e.g. filing systems for paper forms or back up procedures for electronic data)	Records review	**Partially meets**	
5.	Historical data is properly stored, up to date and readily available	Records review	**Does not meet**	difficult to obtain information from records quickly
6.	The project has one or more electronic M&E databases which are up to date	Observation	**Partially meets**	Has a database
7.	Data from services is disaggregated by gender and age and training by gender	Observation	**Partially meets**	Not aware

8.	If client-level personal information is collected then IDs are used to protect the confidentiality of clients, and access is restricted to this information	Discussion/ records review	**Partially meets**	
9.	Field level data entry (filling in forms) occurs immediately or shortly after service provision to limit recall bias	Discussion incl. partners	**Partially meets**	
10.	The number of data collection tools is sufficient for program needs and not excessive	Records review	**Partially meets**	Data collection is sufficient for program needs and not excessive.
11.	There is adequate documentation/in-house capacity for the program database so that it can be modified by one or more staff	Discussion/ records review	**Partially meets**	There is adequate documentation partially. There is an MIS data base that has been storing information properly since 2015, before that the records storage are unclear.
12.	Safeguards are in place to prevent unauthorized changes to data	Observation	**Partially meets**	
13.	There is management support for following up any persistent data gaps with partners	Discussion/ records review	**Partially meets**	Lacking management support as required.

D.Data Quality Systems

Detailed Checklist	Means of Verification	Rating	Observations, rationale for rating and recommendations
1. Operational indicator definitions for national/global indicators are consistent w/existing standard guidelines (e.g. ISO etc.)	Records review	**Partially meets**	For some processes
2. Definitions and interpretations of indicators are followed consistently when transferring data from front-line instruments to summary formats and reports	Records review	**Partially meets**	Yes
3. Quality controls are implemented to minimize errors when data are entered into computer/PDA (e.g. double entry, post-entry verification, etc.)	Observation	**Partially meets**	Quality controls are not always checked
4. Written guidance on filling in data collection tools is evident at the partner or service delivery level	Records review	**Partially meets**	Yes
5. Steps are taken to limit calculation errors, including automation where possible	Discussion/ Observation	**Partially meets**	Not aware
6. There is a clear link between fields on data entry forms and summary or compilation formats to reduce transcription error	Records review	**Partially meets**	Not clear link, use different forms to summarize different reports due to lack of resources to obtain correct forms for data
7. The number of transcription stages (manual transfer of data from one form to another) are minimized to limit transcription error)	Records review	**Partially meets**	
8. Systems are in place to adjust for double-counting	Records review	**Partially meets**	Presence of double counting through data collected from section heads and branch offices.
9. Systems are in place for detecting missing data	Observation	**Partially meets**	Systems not clear
10. Standard forms/tools are used consistently within and between partners	Records review	**Partially meets**	Not fully
11. At least once a year program and/or technical staff (with or without M&E specialists) review completed tools at site or partner level for completion, accuracy or service quality issues	Discussion/ records review	**Partially meets**	Tools are reviewed

12.	Data collection tools/partner reports are filled in completely (take sample)	Records review	**Partially meets**	Yes
13.	Data collection tools/partner reports are filled in correctly (take sample)	Records review	**Partially meets**	Yes
14.	All expected partner reports have been received	Discussion	**Partially meets**	Yes
15.	Donor reports are submitted on time	Discussion	**Partially meets**	Yes
16.	Data reported corresponds with donor-specified report periods	Discussion	**Partially meets**	Not sure
17.	Feedback is provided to all service points on the quality of their reporting	Records review	**Partially meets**	Some offices feedback is pending on audits
18.	There is evidence that corrections have been made to historical data following data quality assessments	Records review	**Partially meets**	Corrections are not made due to lack of resources.
19.	All sites are reporting on all required indicators	Records review	**Partially meets**	Some
20.	There is evidence that supervisory site visits have been made in the last 12 months where data quality has been reviewed	Discussion/ records review	**Fully meets**	
21.	There is evidence that field-level supervisors review data from field workers before it is finalized and passed on	Discussion/ records review	**Fully meets**	

E. Data Verification

Detailed Checklist	Means of Verification	Rating
1. Supporting documents are on-hand & accurate for indicator 1: the number of branch post offices providing reports on a daily basis based on revenue.	Records review	**Within 5% of reported data**
2. Supporting documents are on-hand & accurate for indicator 2: the number of branch post offices providing reports on a weekly basis based on revenue.	Records review	**Within 5% of reported data**
3. Supporting documents are on-hand & accurate for indicator 3: the number of branch post offices providing reports on a monthly basis based on revenue.	Records review	**10% above reported data**

F. Data Analysis & Use

	Detailed Checklist	Means of Verification	Rating	Observations, rationale for rating and recommendations
1.	The majority of data collected is reported	Discussion/ records review	**Partially meets**	Most of it
2.	If client-level information is entered into a database then it is possible to analyze what services each person has received	Discussion/ records review	**Partially meets**	Yes
3.	Reasons for under- or over-performance (e.g. not achieving important targets) are documented	Records review	**Partially meets**	Not documented fully
4.	Performance issues (e.g. not meeting targets) are followed up with partners/others	Records review	**Partially meets**	Yes
5.	Written procedures are in place to ensure regular (at least quarterly) review of M&E data by program/project managers and/or COP, M&E staff, other technical staff and partners	Records review	**Fully meets**	Procedures are in place but reviews are lagging
6.	At least one data review & interpretation meeting has taken place in the last quarter at the national/program level involving managers and program/technical staff	Discussion/ records review	**Partially meets**	Yes
7.	At least one data review & interpretation meeting has taken place in the last quarter at the local/site level involving partner managers and program/technical staff	Discussion/ records review	**Partially meets**	Not aware
8.	Regular analysis includes trends in performance indicators over time (e.g. monthly or quarterly)	Records review	**Partially meets**	Lacking regular analysis
9.	There is evidence that data analysis has led to improvements in program design or implementation	Discussion/ records review	**Partially meets**	Not aware
10.	Donors and/or government have received an analysis report or attended a meeting with results presented - over and above minimum reporting requirements - within the last 12 months	Discussion/ records review	**Partially meets**	Not aware

11.	A gender analysis has been conducted to help programs understand and integrate gender issues	Discussion/ records review	**Partially meets**	
12.	Program/technical staff are familiar with key indicators and results pertaining to their program/technical area	Discussion	**Partially meets**	
13.	A senior staff member (e.g. Program Manager) is responsible for reviewing aggregated data prior to release of reports from M&E unit	Discussion	**Partially meets**	Yes
14.	Monitoring data is accessible to relevant technical staff and manager(s)	Observation	**Partially meets**	

G. Evaluation

Detailed Checklist		**Means of Verification**	**Rating**	**Observations, rationale for rating and recommendations**
1.	Evaluation activities are explicitly outlined in the M&E plan	Records review	**Partially meets**	Yes
2.	An outcome or impact evaluation is planned for the program(especially unique and large-scale programs)	Records review	**Partially meets**	Yes
3.	A process evaluation or mid-term review has been conducted for projects which are ≥3 years into implementation	Records review	**Partially meets**	Not complete
4.	Baseline data is available within the first 2 years of project	Records review	**Partially meets**	Yes
5.	Reports of any past evaluations are available	Records review	**Partially meets**	Not sure

6.	Findings from past evaluations have resulted in program improvements	Records review; discussion	**Partially meets**	Evaluations not carried out to result in seen improvements
7.	Evaluation designs are adequately outlined in a protocol	Records review	**Partially meets**	
8.	Evaluation protocols include analysis plan, ethical provisions, budget and timeline	Records review	**Partially meets**	
9.	Relevant personal data are maintained according to national or international confidentiality guidelines	Records review	**Partially meets**	Yes
10.	Evaluation results have been disseminated to all stakeholders	Discussion	**Partially meets**	Not sure
11.	When evaluations have been conducted, local capacity has been built as part of the process	Discussion	**Partially meets**	
12.	There is a mechanism in place for obtaining periodic feedback on service acceptability from beneficiaries/ target group members	Record Discussion	**Partially meets**	Obtain feedback from customers through G60 although its not always up dated by branch offices.

H.Alignment&Leadership

	Detailed Checklist	**Means of Verification**	**Rating**	**Observations, rationale for rating and recommendations**
1	Indicators collected include those earmarked for the national program (government)	Records review	**Partially meets**	Not aware
2	Reports have been submitted to the relevant government departments according to schedule	Discussion	**Partially meets**	
3	If applicable data have been reported through a single channel of the national system to prevent double-counting of program results	Records review	**Partially meets**	No presence of double counting
4	Data collection tools are aligned with those of the Government	Discussion	**Partially meets**	Lack of funding activities still pending
5	Regular supervision activities are conducted to ensure activities are aligned with national/international standards	Discussion	**Partially meets**	Lack of funding
6	Program participates in national M&E TWG or other for a	Discussion	**Partially meets**	Yes
7	Program has been used as a best practice/learning site for one or more M&E practices	Discussion	**Partially meets**	Yes

	by donor or government			
8	Program has been used as a best practice/learning site for one or more M&E practices by other (not supported) NGOs/CBOs/FBOs	Discussion	**Partially meets**	Not aware
9	Program has presented components of its M&E system at national conferences or other meetings in the last 2 years	Records review	**Partially meets**	Not aware
10	Program has presented components of its M&E system at international conferences or other meetings in the last 2 years	Records review	**Partially meets**	Not aware
11	One or more elements of Program's M&E system have been published in peer review publications in the last 2-3 years	Records review	**Partially meets**	