

**ASSESSMENT OF THE IMPLEMENTATION OF THE NATIONAL AIDS
CONTROL COUNCIL RESULTS BASED MANAGEMENT SYSTEM**

BY

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**A RESEARCH PROJECT SUBMITTED IN PARTIAL FULFILLMENT OF
THE REQUIREMENTS FOR THE AWARD OF THE DEGREE OF
MASTER OF ARTS IN MONITORING AND EVALUATION OF
POPULATION AND DEVELOPMENT PROGRAMMES**

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DECLARATION

I declare that this research project is my original work and has not been submitted for an award of degree in this or any other university.

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DEDICATION

This research is dedicated to my loving parents; Mr. and Mrs. Mutwiri, and Mrs. Rosemary Kanyua who have been a source of encouragement and inspiration for always believing in me and setting a strong education foundation for my siblings and I. To my siblings; Kenneth Murithi, Lina Kagwiria, Victoria Kanana, Sylvia Ntinyari, Loreen Nkirote, Hilda Kagendo Jimnah Muruki, Maxine Kayu and Munene Mwendia for constantly encouraging and being my support system throughout this period.

God bless you all abundantly.

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ABSTRACT

The study focuses on the challenges faced while implementing Results Based Management (RBM) system within the Governmental, non-governmental both private and public using the National Aids Control Council (NACC) as a case study. The study sought to address three main objectives assessing the extent to which the RBM system has been implemented in NACC and determining the extent to which both organizational and technical challenges limit the effective implementation of RBM system within the organization. The study borrowed and domesticated an interview guide as the data collection tool that was utilized during the conducted one on one interviews with the monitoring and evaluation personnel. In addition, content analysis was utilized during the data analysis stage drawing inferences and comparisons of existing relationships or differences from the research findings addressing the study objectives. Furthermore, the study was also supported by findings obtained through document reviews. The research findings and conclusions revealed that the six RBM principles have been operationalized within the organization as a result ensuring the implementation of RBM systems. However, the personnel highlighted that as much as the system is being implemented two main challenges limit its effectiveness comprising of inadequate capacity by the personnel to fully operationalize the RBM system and limitation of finances. Other challenges were issues of bureaucracy and the data collection tools and systems are mostly operated online, hence accessing them in remote areas is challenging. Therefore, to ensure strengthened and effective implementation of the RBM system there is need to continuously capacity build the personnel especially at the lower levels. There is also need for the organization to strategically adopt innovative and sustainable funding mechanisms to tackle the challenge on limited finances such as integration of HIV programming with other health related issues as a resource mobilization strategy. The research also recommends other future research areas as assessing the effects of continuous capacity building personnel on RBM system and its influence on the successful operationalization of RBM system within the organization. Furthermore, there is also a need for further research on the role of incentives in ensuring the successful implementation of RBM systems.

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LIST OF ABBREVIATIONS AND ACRONYMS

CAPR	Community AIDS Programme Reporting
DQA	Data Quality Assurance
ETR	End Term Review
FP	Family Planning
GAM	Global Monitoring Report
HIPOS	HIV Implementing Online System
HTC	HIV Testing and Counselling
JD	Job Description
JIU	Joint Inspection Unit
KASF	Kenya Aids Strategic Framework
KNASP	Kenya National HIV and Aids Strategic Plan
M&E	Monitoring and Evaluation Systems
MBO	Managing By Objectives
MDGs	Millennium Development Goals
MFR	Managing For Results
MOH	Ministry of Health
NACC	National Aids Control Council
NASCOP	National AIDS and STI Control Programme
NGOs	Non-Governmental Organizations
NTLDP	National Tuberculosis Leprosy and Lung Disease Program
PERT	Program Evaluation and Review Technique
RBM	Results Based Management
SCACCs	Sub-County AIDS Constituency Coordinators
SIT	Strategic Information Team
SRHR	Sexual Reproductive Health and Rights
TWG	Technical Working Group
UHRIS	Unified HIV Response Information System
UNDP	United Nations Development Programme

CHAPTER ONE

INTRODUCTION

1.1 Background of the study

In the past governments solely focused their attention on the human, technical and financial resources that were provided as inputs for program implementation. However there has been constant pressure around the world to develop systems and mechanisms for greater accountability and transparency. Meier(2003) and the United Nation Development Programme both trace the history of results-based management in the mid 1990's where it was referred to as a process of logical evolution of already existing earlier initiatives (Meier, 2003).

Furthermore, researchers such as Ika and Lytvynov (2009) emphasizes that Results-based management in the past focused more on the old paradigm of demonstrating results rather than shifting its focus on managing by objectives.

Results Based Management (RBM) is defined as a management strategy in which all actors, contributing directly or indirectly to achieving a set of results, ensure that their processes, products and services to the achievement of desired results (outputs, outcomes and higher-level goals or impact). As a result, various actors utilize the information and evidence to inform the decision-making process on the design, resourcing and delivery of programmes and activities as well as for purposes of accountability and reporting (UNDG, 2011).

Nevertheless, the Asian Development Bank (2006) stresses further that, RBM is simultaneously a management approach tool utilized for strategic planning, monitoring and evaluating performance, reporting and organizational improvement and learning. Moreover, having the RBM system in place helps improve an organization's performance by applying and using various traditional tools such as strategic planning, results framework, monitoring, and program evaluation, networking, flexibility, participatory processes and accountability (Asian Development Bank, 2006).

Binnendijk (2000) also defines results-based management, as a broad management strategy that aims at achieving significant changes in the way government agencies operate, with improving performance by achieving better results as the central orientation.

Results Based Management System in the United Nations system has been utilized as an approach that seeks to improve performance by ensuring results are achieved. However, it is important to note that there is no one single "roadmap" to RMB. Organizations are different and their specific

mandate, structure size and constraints fully dictate the decisions taken by the management (Ika & Lytvynov, 2009).

RBM was introduced in Kenya back in 2004, within the public service as a deliberate policy that was utilized to ensure improved performance in service delivery and governance (GOK, 2004). The introduction and institutionalization of RBM in the public service as an approach aimed at refocusing the public servants' mindset on achieving results in service delivery to ensuring improved performance when delivering the services to the citizens. RBM sought to assist both the public sector and non-governmental organizations (NGOs) to shift their on utilizing resources to achieve definite objectives and targets defined in the Economic Recovery Strategy.

The National Aids Control Council (NACC) was established as a corporate body under the State Corporations Act by the presidential Order in Legal Notice No.170 back in September 1999, as an action that was taken after HIV/AIDS was declared a National Disaster in Kenya. NACC seeks to provide policy and strategic framework for mobilizing and coordinating resources used for the prevention and provision of care and support to those either living positively or affected by HIV/AIDS (NGO, 2010).

The Kenya National HIV and Aids Strategic Plan (KNASP III) as adopted by NACC focuses on utilizing evidence that greatly informs the strategy ensuring information continuously flows guiding the implementation process at all levels (NACC, 2009). RBM focused more on the results (outcomes) that were to be achieved as opposed to input-based programming minimizing excessive focus on outputs; and cost-effectiveness analysis ensuring resources were allocated and utilized efficiently and effectively. Research findings from Nyarige (2016) likewise emphasizes that monitoring and evaluation systems (M&E) has been used overtime to report on results achieved during programme implementation. However, the existing challenges and gaps act as a barrier to the overall functionality of the monitoring and evaluation systems that informs the decision-making process (Nyarige, 2016).

The core function of the National Aids Control Council according to the HIV/AIDS Strategic Plan 2005/6-2009/10 is based on the "Three Ones" principle, which is an overarching strategy for all HIV/AIDS interventions in Kenya implemented across the board by the government, civil society, the private sector or development partners seeking to provide a results framework that would be revised annually guiding the interventions offered across all sectors by identifying specific tangible results to be achieved in each priority area, identifying lead agencies and strategic partners responsible for implementation (NACC, 2005). The strategic plan's results framework

identified the results realized during the first and second year of the KNASP on each priority area, serving as performance benchmarks for the national response to combating HIV/AIDS. The key components of the results framework comprise of Results that constituted the key deliverables realized from each target area during the two year period. The strategy was implemented from the national to the local levels. Involving all key sector players such as the Public, Private and Civil players. Taking into consideration the Timeframes, target dates by which results were to be achieved. The information acted as a guide to the implementing actors in prioritizing and scheduling their work, ensuring appropriate and relevant strategies were utilized to achieving specific results avoiding duplication of roles and efforts. This ensured that the lead agency was tasked with the overall responsibility of coordinating the other relevant partners implementing activities in the specific target areas and delivery of specified results.

NACC is currently implementing the 2014/15-2018/19 strategic framework that is re-aligned to Kenya's new governance structure in accordance with the Constitution of Kenya 2010 guiding all stakeholders, implementers and partners to track progress and continuously measure results towards achieving the objectives of the framework seeking to improve efficiency, enhancing transparency by all players as a result strengthening accountability.

It is against this background that this assessment seeks to underscore the challenges that act as a barrier in the operationalization of the six principles within NACC in realizing the expected results from the programmes implemented.

1.2 Problem statement

Over the years Results Based Management has gained popularity especially with Non-governmental Organizations globally. This has shifted focus from inputs and activities to outputs, outcomes and impact. One of the key requirements by donors when funding programmes/projects is ensuring that organizations have in place an operational monitoring and evaluation system to track performance progress ensuring results are achieved with the completion of the implementation phase which as a result introduced the aspect of Results Based Management System. Rudo (2013) highlights that the principles of RBM have been adopted by numerous governments and public organizations worldwide to improve the implementation of national programmes. However, the study further emphasizes that the availability of sufficient capacity on RBM is a major determinant on whether RBM is successful or a failure within the organization (Rudo, 2013). Marta (2009) notes that even though organizations are finally able to be held

accountable for achieving results, the main concern and question raised is in fact if organizations have the potential to fully utilize RBM to enhance effectiveness of programmes.

However, in so many countries the challenge still persists on the need for organizations to realize the expected results especially at the outcome level. The study seeks to understand the challenges faced by the National Aids Control Council while implementing RBM. There is no existing evidence of research findings around this research area, hence the study seeks to generate relevant study findings and provide recommendations on the implementation of HIV/AIDS interventions put in place ensuring results are realized at the outcome level. The assessment also seeks to build on past research conducted by other researchers on RBM such as Mayne (2007), whose research study focused on assessing the challenges encountered in implementing RBM at a broad and general level. In addition, the assessment seeks to build up and address the study recommendation gaps that were identified by Nguni (2017) on assessing the challenges faced by national programs in the implementation of the RBM approach, as some of the challenges were identified by the study findings in relation to The National Tuberculosis Leprosy and Lung Disease Program (NTLDP).

1.3 Research Questions

The research seeks to address the following research questions:

1. Are the principles for effective implementation of RBM in place at NACC ?
2. To what extent are the Organizational challenges that act as a barrier in the implementation of RBM experienced at NACC?
3. What are the Technical challenges experienced during the implementation of RBM at NACC?

1.4 Objectives of the study

The general objective of the study is to determine the challenges faced by National Aids Control Council while implementing the Result Based Management system.

The specific objectives are:

1. To determine the extent to which the RBM principles have been implemented at NACC
2. To assess the organizational challenges that act as a barrier in the implementation of RBM at NACC.
3. To assess the technical challenges experienced during the implementation of RBM at NACC.

1.5 Justification of the study

The study findings will seek to inform the interventions, programmes, policies formulated in relation to HIV/ AIDS. The findings will be beneficial to NACC as the national body tasked with the mandate of implementing the HIV/ AIDS programme in Kenya, especially in identifying the gaps that still exist and how they can be mitigated in relation to achieving HIV/AIDS related results. The study will also inform other National Programmes implementing RBM as a system within the Public Monitoring and Evaluation systems seeking to contribute positively to the general improvement of implementation of RBM system. The study will further form a basis for other areas of assessing the function ability of RBM with the various National programs.

1.6 Scope and limitations of the study

The study focused on The National Aids Control Council, a national body of the Government that is currently implementing the 2014/15- 2018/19 strategic framework and its 2014/15- 2018/19 monitoring and evaluation framework ensuring adequate information is provided guiding the decisions made at all levels, as well as tracking overall progress and reporting the achieved results. NACC has an operational monitoring and evaluation system in place that seeks to ensure the effectiveness, efficiency, transparency and sustainability of the HIV/AIDS programs implemented in Kenya. The six principles will however, not be fully operationalized due to the barriers that present themselves as the twelve challenges that hinder the implementation of RBM.

Due to time constraints the study research will focus on assessing the perceptions of the personnel within NACC charged with the responsibility of implementing programmes to inform the research. Hence the research study will be limited to only conducting one on one interviews with the key personnel. The research will also be limited to the past research done by Gwata Rudo adopting the data collection tool used by the researcher.

The researcher was not able to access other relevant internal documents such as donor reports as well as past findings from past conducted evaluations by the organization, which was a key limitation and barrier. This is mainly due to the internal organizational procedures that required the researcher to submit a request for approval to access the documents that would then be submitted to various levels for authorization and approval up to the organization's director level.

These are the same systems that were applied when the researcher submitted the letter requesting approval to conduct the research within the organization that took a minimum period of three months to be approved at all levels. Where the researcher was required to convene several meetings with the team to expound on the focus of the research study within the organization bearing the limitation of the study in relation to time constraints.

Therefore, the internal organizational procedures and regulations limited access to the internal submitted reports and other relevant documents that would have been instrumental in supporting the qualitative data findings. Hence, the semi-structured interviews findings are majorly informed and supported by analysis findings from the internal and external accessible documents shared online such as the monitoring and evaluation framework and the strategic framework as well as findings from past relevant research studies conducted on RBM by other researchers.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

The main purpose of the study is to assess the challenges faced by the National Aids Control Council in the implementation of RBM. The section will focus on reviewing literature on the evolution of RBM the principles of RBM and the challenges of implementing RBM categorized as organizational and technical that hinder the successful implementation of RBM within organizations.

2.2 History of Results Based Management

RBM past utilization can be traced back to business management theories, applied social research, program evaluation and expenditure management. RBM was initially utilized in the private sector organizations, before being adopted by the public sector as part of the reform efforts undertaken in the 1980s and 1990s. In later years RBM has increasingly been implemented and utilized by the development agencies and multilateral organizations. RBM brings forth a new methodology of doing business being a fundamentally different approach to management than has traditionally been utilized by the public sector and development organizations. With the public sector organizations being more interested in observing the rules and procedures, there has been limited attention paid to the client's needs and customizing services to suit the specific circumstances of the clients, being more supply driven rather than demand driven.

Many organizations within the development organizations also focused on “doing things right” rather than on “doing the right things“. However, this old approach of doing business begun to change during the late 1960's as the planning, programming and budgeting systems begun to be developed to improve the quality of financial planning that would ensure accountability .It is against this background that Managing by objectives (MBO),was introduced in the mid-1970s within the public sector organizations that ensured managers learned to set objectives and identifying good performance indicators to track progress which in turn significantly improved their ability to effectively track ,manage and assign responsibilities appropriately. In the1970s and 1980s “program management by activity“ methods were developed formulating tools such as Gantt Charts, The Critical Path Method, The Program Evaluation and Review Technique (PERT), that provided relatively strict blueprints for executing programs and projects. Governments in many developed countries by the late 1980s had re-oriented themselves focusing more on the clients and services provided. During the1990s in many of the European and North American

Countries governments were almost experiencing fiscal and budgetary deficits, growing public demands for cost- effectiveness in the provision of services that called for accountability. By 1990s there was realization that the concrete results of the traditional development assistance were not living up to the expectations, hence the intended desired results were not being achieved which raised concerns if indeed the development assistance funds were being effectively utilized. The results revolution came to the development sector in part as a result of “aid fatigue hat aid programs were indeed not effective in achieving the development objectives they were meant to achieve.

The results revolution was further fueled by the development of tools that were based on a systematic analysis of the cause and effect relationships such as the Log frame. Furthermore, with the adoption of the Millennium Development Goals (MDGs) by all the 189 countries in the year 2000 served as a steering factor of their being a need of harnessing results. The Paris Declaration identified five principles comprising of country ownership, alignment, harmonization, managing for results, and mutual accountability as the core of achieving global development agenda. This brought forth the push towards achieving results through Results Management (RM) that has continuously gained momentum. As a result, currently, there is a broad consensus regarding the importance of achieving measurable results (Asian Development Bank, 2006).

International organizations have been working for many years to ensure services and activities delivered achieve results in the most effective way possible . During the traditional days a lot of emphasis was placed more on managing inputs and activities, this approach however has not always demonstrated achievement of results in a credible manner that would satisfy the taxpayers, donors and relevant stakeholders . The “2005 Paris Declaration on Aid Effectiveness” highlighted RBM as being part of the efforts of working together in a participatory approach so as to strengthen the country capacities promoting accountability of all the major stakeholders in pursuit of achieving results.

Effective Implementation of Results Based Management System is dependent on the six principles of RBM which include; Fostering senior-level leadership in results-based management, Promoting and supporting a results culture, Build results frameworks with ownership at all levels, Measure sensibly and developing user-friendly results-based management information systems, Use results information for learning and managing, as well as for reporting and accountability and build an adaptive results-based management regime through regular review and update. The challenges are further categorized as technical and organizational challenges comprising of; Fostering the right climate for Performance Information, Setting realistic expectations for the role of

performance information, implementation to get buy-in and use, setting performance expectations for outcomes, selectivity, avoiding distorting behavior, accountability for outcomes, measurement, attributing outcomes to actions, linking financial and performance information, quality of data and information and credibly reporting performance.

2.3 Principles of Results Based Management System

To ensure the effective implementation of RBM system within both the private and public sector the six principles of RBM have to be fully operational and functional. These principles are discussed below.

Accountability; representing the obligations of both the public and private sectors by being answerable for ensuring that results are delivered in relation to the predetermined objectives. Mutual accountability has been developed as a criterion for ensuring development, by certifying that the respective parties are held accountable for working together as a guarantee that the shared outcomes are realized. However, it is important to note that the mandate cannot be left to the government as the only executing agent of the various state programmes, non-state actors have a key role to play as well in ensuring that the overall National objectives are achieved and realized.

National Ownership of results; Each state must be able to take responsibility for its development by ensuring national policies and development strategies are implemented achieving sustainable development. All programmes developed should be re-aligned to the needs of the citizens ensuring sustainability of interventions even with the completion of donor aid. National ownership is to be promoted through the involvement of the citizens identifying their local needs. RBM aims to ensure the involvement and meaningful engagement of all stakeholders promoting ownership as a result promoting diversity. Therefore to sustain the ownership process the personnel carrying out the monitoring and evaluation activity should be fully engaged with the sole responsibility of ensuring the achievement and realization of results findings, recommendations, and lessons learnt.

Inclusiveness; A strong RBM system seeks to ensure all key stakeholders are meaningfully engaged in all stages of programming including government institutions at all levels of operationalization i.e. National, County, trickling down to the grassroots level. Involving civil society organizations and the beneficiaries of the interventions in brainstorming sessions outlining the various issues and needs of the community re-aligning them to the overall programme objectives. Ensuring each key player is held to account for with a responsibility of ensuring each one of them achieves what has been agreed upon with a monitoring and evaluation system put in

place to track progress in achieving results. After which the information gathered is used to improve the overall programme performance.

Transparency is key since the process of defining roles and responsibilities of partners should be clearly done of those involved in the development initiative, and its implementation process. The methodologies and tools utilized when collecting data should be valid and reliable especially when fulfilling partner's accountability obligations when reporting on the various performance indicators. A broad dissemination forum should be held where the study findings are shared with all the and active discussions held on the performance information, lessons learnt, best practices and challenges experienced during the implementation process and suitable solutions to address the highlighted challenges to guide the process of designing and conceptualizing another program as a result enhancing national country ownership and organizational learning (Meier, 2003).

Evidence Based Learning and managing; the success of RBM is fully dependent on the organization's ability to create a management culture that is solely focused on achieving results. RBM facilitates organizational learning by conveying performance information to decision makers through a feedback mechanism. This creates an opportunity for learning from the numerous lessons identified during the implementation process. As a result, the management decision-making processes to a great extent can be informed by the valid and reliable performance information translating to effectiveness and efficiency (Meier, 2003).

Promoting and Supporting a Results Culture; Organizations should foster an environment where all key actors involved in the process of implementation are gatekeepers in ensuring results are realized, at all levels, be it at the National, County and Local governments by the civil society organizations, communities, United Nations agencies and partner governments. This will ensure that the overall operations are informed by a demand for results information with a clear defined role and responsibility of RBM. Incentives that support a results-oriented system should be put in place as well ensuring everyone involved in the process is held accountable which in turn will promote a learning culture that is fostered within the organizations operating systems (UNDG, 2011).

National Aids Control Council has domesticated the six principles to fit Kenya's context that governs the operationalization of RBM system within NACC through the Kenya Aids Strategic Framework 2014/2-015-2018/2019 comprising of;

Results-based planning and delivery of Kenya Aids Strategic Framework (KASF): HIV programming shall be linked to the KASF and demonstrate contribution towards results (NACC, 2014).

Evidence-based, high impact and scalable interventions: Preferring resources and implementation shall be assigned to high-value, high-impact and scalable initiatives that are informed by evidence (NACC, 2014).

Multi-sectoral accountability: The KASF provides guidance for interventions and results for which multiple sectors are responsible and accountable for ensuring mechanisms are established through The National Aids Control Council .This will serve to increase resources and accelerate results. The National HIV testing guidelines is a policy document that provides a framework for all Hiv Testing and Counselling (HTC) programmes in Kenya, developed in the context of existing Kenyan laws and policies. Nevertheless, the County specific HIV plans from the strategic framework act as a guide to the implementation of HIV response programmes within the counties (NACC, 2014).

Country ownership and partnership: All HIV stakeholders both primary and secondary, including the government, development partners, the private sector, faith-based organizations and communities of people living with HIV shall align their efforts towards achieving the overall envisioned results (NACC, 2014).

Rights-based and gender transformative approaches: The success of the HTC response programmes is dependent on protecting and promoting the rights of those who are socially excluded, marginalized and vulnerable. The KASF is cognizant of this reality and is rooted in a rights -based approach (NACC, 2014).

Efficiency, Effectiveness and innovation: The KASF has taken active steps to explore and operationalize sustainable domestic funding options through improved efficiency in service delivery and innovative approaches aimed at achieving more at a reduced cost without compromising on quality (NACC, 2014).

2.4 Challenges Faced while Implementing Results Based Management System

It becomes difficult in all its practicability to reform the operations of a typical existing organization to actively foster and build a culture for results .After many years of implementing RBM within organizations such as United Nations Development Programme (UNDP) there still exists a weak culture of results (Bester,2012). Similar findings were also obtained within the World

Bank (Bester, 2012). The main challenge that still acts as a barrier in the implementation of RBM is on how organizations will then be able to reverse the norm of doing things within the organization, transforming the staff perceptions that acts as an informal incentive and disincentives to managing the results within the organization (Mayne, 2010).

Challenges in implementing RBM are inevitable and most international organizations like the United Nations Development Programme (UNDP) and others are well aware of the challenges involved in implementing RBM. Some of the challenges faced include defining results consistently and in a measurable way, of importance to RBM is building partnerships and assessing results together with partners which still remains as a big challenge, then convincing donors and local partners of the virtues and practice of RBM (UNDG, 2010).

OECD (2012) emphasizes that applying the RBM approach at the local level becomes a daunting task, as there is no substantial initiative to move it forward. Interviews conducted in two big cities, Ho Chi Minh and Da Nang showed that the local planning authorities are very much reluctant in institutionalizing the RBM approach due to the existing complexities of concepts, the costs, and time of data collection and possible inconsistency between data at both National and Local levels in some cases.

The Third Kenya National HIV and AIDS strategic plan (KNASP III) 2009-2012) and End Term Review (ETR) also noted further that despite the existence of an inclusive national stakeholder coordination and participation framework the co-ordination mechanisms established especially at the decentralized levels lacked synergy in terms of service delivery and accountability for results (National Aids Control Council (NACC)).

Furthermore, the governance and leadership landscape for HIV and AIDS in Kenya has also been characterized by a number of challenges such as inadequate country ownership, community participation, stakeholder engagement, coordinated development, partner support and weak leadership capacities especially at the decentralized levels. There is much that is still yet to be learned, many organizations cannot fully prove their complete success in ensuring the integration of performance information especially in their budgeting and management processes. The RBM challenges are classified into two broad categories that is organizational and technical. Mayne (2007) further emphasizes that most of the identified challenges are organizational as compared to technical. These challenges include:

1. Organizational Challenges;
 - Fostering the right climate for Performance Information

- Setting realistic expectations for the role of performance information
 - Implementation to get buy-in and use
 - Setting performance expectations for outcomes
 - Selectivity
 - Avoiding distorting behavior
 - Accountability for outcomes
2. Technical Challenges;
- Measurement
 - Attributing outcomes to actions
 - Linking Financial and Performance information
 - Quality of data and Information
 - Credibly reporting performance

Source: (Mayne, 2007)

Fostering the right climate for Performance; this limitation mainly has to do with the issues around a shift in culture since it is proven to be challenging for both the organizations and governments especially with the shift in their day to day coordination operations. In olden days performance information did not play a critical role especially in determining the operations of the institution, nevertheless the organizations have continuously successfully proved their effectiveness in performance beyond the availability of information hence the question that is commonly raised “Why should they change to the RBM approach?” According to Amjad (2003) and Steyn (2014) the main reason for the resistance to change by personnel within the organization is that they are comfortable with the “*status quo*” as a result they are not compelled to shift and improve overall performance. Numerous organizations are still struggling with the fear of changing and adopting an evidence-based approach to public management and budgeting, foreseeing the change process as an erosion of many past years of built-up experience. Another reason is that the incentives within the organizations both formal and informal are dominant and widely known many are seeing not to value the utilization of evidence in management. Either way unavailability of incentives may result to challenges especially in integrating evidence use within the already ongoing organizational processes.

Setting realistic expectations for the role of performance information; All past efforts put in place to ensure the introduction and utilization of performance information to inform the coordination and financial process has proved to be a difficult process due to the realized setbacks.

This is usually due to the set expectations that are set out for with an assumption on the role of performance information within an organization. Performance information is seen as the solution for improving public management and budgeting. Perrin (2002) further emphasizes that many of the OECD governments realized that developing a performance information system as being a more complicated process than anticipated. Melkers and Willoughby (2001) suggested that the main challenge that acts as a barrier in effectively implementing the performance-based budgeting usually has to do with 'the different perceptions by the budget users especially on the use and success (Mayne, 2007).

Implementation to get buy-in and use; It is important to note the utilization and implementation of performance information especially within organizations greatly determines the overall positive result. Key factors to take note of is the need to lobby and ensure support by personnel within the organization through buy-in, the strategy put in place, the need to ensure momentum is maintained, as the process is ongoing, the realization of the fact that the process may take quite a number of years to succeed, ensuring the system overly is a reflection of the organization's main goal and finally ensuring that the importance of learning is encouraged throughout through the use of the performance information. The time frame has already been identified as one of the overriding issues, integrating evidence into management and budgeting needs ongoing commitment over many years, it is not a short-term, one, two, or three-year initiative. Indeed it deserves a lot of devotion. Up to date quite a number of governments and organizations are still experiencing challenges in ensuring momentum is maintained for a long period of time. This is because long lasting obligations then means their being a need for resources especially for over a long period of time and organizations are not ready to commit to this. Promoting the use of performance information and evidence is usually resource intensive and since the goal is to ensure the use of the information and evidence in learning what has worked and what has not. This still presents itself as a challenge for many organizations. (Mayne, 2007).

Moreover Moynihan (2004) further stress that the weakness of most organizations managing for results (MFR) lies between the points of data dissemination that is done well rather as compared to its use which is still its ultimate purpose and it done poorly. The gap that still exists here is the lack of adequate learning opportunities in the form of forums, platforms that motivate the actors to closely analyze information considering its relevance and later on assessing its future effects. It is important to note that much attention is rendered to data collection mechanisms rather than the learning mechanisms (Moynihan, 2004).

Setting performance expectations for outcomes: Organizations need to clearly outline realistic expectations, especially in line with the level of overall anticipated performance set to be achieved. This becomes quite important especially in ensuring the integration of performance information into both the management and budget process. However, it still presents a serious threat due to quite a number of factors; it directly raises the question of accountability for performance, outcomes are by definition results over which organizations do not have complete control over, setting targets can still be seen as dangerous. It may not be at all known what reasonable levels ought to be and if the set expectations are a reflection of the future occurrences to be realized and met to ensure improved performance. Finally formulating the required expectations in most situations may require a one on one dialogue especially with the beneficiaries and /or the budget officials. According to Perrin (2002) a number of OECD governments recognized the relevance of achieving results as well as the specific barrier of dealing with outcomes (Mayne, 2007).

Selectivity: As much as in some sections there may still be issues of concerns especially when it comes to the lack of performance information, however the major concern then becomes the danger of having an overload of information For most programme a huge array of possible measures and evaluative information can be developed quite easily by swamping the ability of users to deal with the information. Numerous operational performance measurement systems have in one way or another collapsed due to the weight of having too much information at one place. Of late programmes have started realizing the importance of selectivity, especially with the information gathered and used. Nonetheless, it's easier to talk about selectivity rather than adopt it .As a result this then means that at one point in time some information either be left out or it will actually not be recorded. It is not clear on how best organizations can address the challenge of dealing with information overload (Mayne, 2007).

Avoiding distorting behavior; A common issue with utilizing performance measures is usually the selection of a few specific targets and indicators, then the personnel within the organization are forced to improve on those specific non performing areas that would later on affect the overall performance of the programme in realizing its objective. A huge challenge significantly lies with the measurement of the lower level outcomes or outputs. A common saying “what gets measured gets done” has been utilized for many years, as a benchmark over the years which might actually be seen as a sign of caution on the effects of getting measurement wrong. Most organizations that have shifted their focus to RBM have reported encountering this phenomena (Mayne, 2007).

Accountability for outcomes: Usually individuals will generally be comfortable in being held accountable, especially for the things within their sphere of control. As a result, the personnel in charge within the organization hold themselves accountable for the realization of outputs which are directly produced by the implemented activities. Therefore, when the focus shifts to outcome, then there is less comfort especially by the management since at the outcome level it becomes challenging for the team to attribute their contribution to the realization of the outcome, as so many other external factors come to play which are beyond the control of the management such as social and economic trends, exogenous events, and other programmes. Another key challenge that arises is that the team is also not well conversant with what accountability for outcomes really means. In the instance that outputs are not achieved, then one is mandated to rightly hold the personnel in charge accountable and take up corrective actions. However, if later on the outcomes are not achieved and similar steps are taken up, then in the foreseeable future few would willingly dedicate themselves to working to realize outcomes (Mayne, 2007).

Measurement; It becomes challenging when one has to assess the achieved outputs and outcomes of both government and organizations based projects especially when it comes to formulating information systems to be used to assess performance . Performance information can only be effectively utilized only in the instance that the accurate information and data has been gathered. Some of the limitations experienced would include assessing and measuring the achieved outcomes of interest to organizations and governments, obtaining the required knowledge and skill set especially in measurement, and proper utilization of conducted assessments as well as other periodic studies. Furthermore, its being noted that some services and programmes are much easier to assess and measure as compared to others.

It is important to focus on outcomes but it is good to note the danger in over-quantification. Hence the measures have a limited span of time, whereas those that usually remain unaltered are more susceptible to be extorted, such as distorting behaviour. A difficulty faced would be on the definition of measurement and how the approach is utilized, since most of the measurements were conducted in both the non-profit and public sectors are different from the measurement conducted within the simple sciences where validity and exactness are usually easily routinely realized. Therefore, with measurement it is important to take note of the level of uncertainty that is highlighted especially when assessing the overall performance of policies and programmes. Diverse challenges are experienced especially when coming up with the measures to assess performance especially for the contrasting various forms of interventions which are classified into

four categories of public sector organizations comprising of: production, procedural, craft and coping .It is beneficial to conduct adequate training as well as skills building sessions which if they lack then would contribute to the failure of the results-based systems. It is also important to ensure the monitoring systems compliment the evaluations especially in assessing issues to do with continued relevance, attribution, unintended impacts and to help understand what is working and what is not working (Mayne, 2007).

Attributing Outcomes to Actions: Assessment of outcomes is a key obstacle, whereas another challenge becomes the attribution of the programmes implemented to the realized outcomes. The issue is that there aside from the contribution by the implemented activities within the programme there also exists quite a number of e of other external factors that have also a contributing factor to the overall realization of the results at the outcome level. Hence, this means that the realized outcomes may have actually been realized even without implementing the programme. However, for one to be able to make well informed decisions on further utilization of public resources especially in implementing the program then there is a need for an assessment of the contribution of the programme to the overall desired outcome. The real challenge arises when it comes to assessing the out the possible programme contributions or attribution to the overall realized programme outcome (Mayne, 2007).

Linking Financial and Performance Intervention; a key aim of integrating performance information into coordination and budgeting is to assess the costs of the realized programme results. For the achieved outputs this is usually simple, since there is normally a direct link between the costs of inputs and the direct outputs produced. However, with outputs in various circumstances results in challenges, as the financial systems are usually not always aligned to the overall utilization of availed outputs. For realization of outcomes, especially at the higher-level, the challenge goes beyond the technical aspect focusing on the conceptual aspect. The issue on determining the cost of an outcome still lingers (Mayne, 2007).

Quality of Data and Information: Emphasis has been put on ensuring the credibility and quality of data and information in informing a performance measurement system especially looking into the circumstances in which the performance information and evidence are most likely to be utilized used by the beneficiaries .It is important to take into account the parameters at which quality touches on focusing on matters to do with ensuring accuracy, relevance, completeness,

reliability, integrity and timeliness. Taking into account that it does not exist on its own since realizing better quality requires an investment of more resources (Mayne, 2007).

Credibly reporting performance: The rapid use of data and information by a variety of interested users becomes a challenge especially when it comes to identifying the best strategy for reporting on the performance information. There is often some level of uncertainty that is usually reported, especially when it comes to the measurement and reporting of the realized outcomes especially when it comes to attribution of the outcomes to the implemented programme. Furthermore, public reporting looks at the measures and strategies taken up by the organization in ensuring it achieves and its ability to sustain and continue its operations improving performance. However the expertise in measuring and reporting on these matters are usually not widespread. Thus, The National audit offices charged with the responsibility of reporting on performance information that is frequently disseminated to the parliaments informing the decision making processes, and its important to note that there are no widely recognized standards for such reporting. Hence as a result each jurisdiction is responsible for publishing their own. Considerable efforts by the various line ministries, budget offices and national audit offices, as well as a number of private sector companies with a sole responsibility of reporting especially on corporate social responsibility have been expended in many jurisdictions on how to best report performance information. Although there are little efforts put in place up to date especially within the various administrations due to their limited progress as a result of the recurring and daunting challenges (Mayne, 2007) .

2.5 Implementation Status of RBM system within NACC

The Kenya Aids Response Progress Report (2016) outlines the strides made so far by NACC in implementing RBM. This has greatly been realized by ensuring that M&E systems are operational, keeping track of the status of the implementation of the HIV Response programme that is implemented at both National and County levels to ensure results are realized. Table 1 below summarizes the achievement realized so far with the implementation of some principles ensuring delivery of results .

Table 1 Progress made in promoting accountable leadership for delivery of KASF Results

Table 18: Progress made in promoting accountable leadership for delivery of KASF results

Intervention areas	Status and progress
Policy intervention	Development of Kenya AIDS Strategic Framework to guide HIV response in the country
	Development of County AIDS Strategic Plans
	2016  47 2013  0
	Development of the Kenya fast track plan to end HIV and AIDS among adolescents and young people
Multi-sector and multi-partner accountability	Development and Launch of the Kenya HIV Situation Room
	Strengthening of Public Sector Reporting through Maisha Certification System, aligned to the Performance Contracting Process.
	Number of public sector institutions implementing workplace based HIV prevention activities.
	2015  258 2013  189
	Development and operationalising of the KASF delivery structures in the county
	Support to H.E the first Lady Beyond Zero Initiative to deliver mobile clinics
	2015  47 2013  0

Source (NACC, MoH, 2016)

Furthermore, the progress report highlights the status at which NACC has been able to put in place an operational monitoring and evaluation systems that performs a vital role especially in ensuring the assessment of programme implementation in achieving the expected results.

Table 2 Progress made in promoting utilization of Strategic Information for Research, Monitoring and Evaluation to enhance programming

Intervention areas	Status and progress
Strengthen M&E capacity to effectively track the KASF performance and HIV epidemic	<p>Development of the Kenya HIV M&E framework</p> <p>Developed strategic information for HIV program that resulted in Strengthening of the M&E/SI Coordination Committees</p> <p><i>Source: National AIDS Control Council</i></p>
Ensure harmonized, timely and comprehensive routine and non-routine monitoring systems to provide quality HIV data at national and county levels	<p>Development of MAISHA Certification System to track workplace program on HIV, it linked to the government performance contracting process and monitors HIV prevention activities carried out by public sector institutions including the counties.</p> <p>Revision of the Community Programme Activity Reporting tool</p> <p>Development of HIV Implementing Partners Online Reporting System (HIPORS) to enhance accountability among the NGOs</p> <p>Generation of annual HIV estimates that provide key data set that informs program planning, implementation and evaluation.</p> <p>Generated and submitted in a timely manner all the annual Global AIDS Response Progress Report in line with UNAIDS guidelines.</p> <p>Developed the 2014 and 2016 Kenya HIV County Profile reports to support the counties in HIV program planning, implementation, target setting and monitoring.</p> <p>Revision of MoH tracking tools to facilitate capturing of age and sub-population specific data. The roll out of the revised tools is ongoing in all the counties.</p> <p><i>Source: National AIDS Control Council</i></p>
Establish multi-sectoral and integrated real time HIV platform to provide updates on HIV epidemic response accountability	<p>2013: 5 different sources of national data used for decision making</p> <p>2015: Data integration with 5 subsystems feeding into one decision making platform (the HIV Situation Room)</p>

Source (NACC, MoH, 2016)

2.6 Empirical Studies

Gwata's (2013) research borrows heavily from the research findings by Mayne (2007) informing the focus in which the research takes in assessing the main factors that act as a barrier in implementing the Results Based Management System strategy within the Zimbabwe Public Service. However, since the introduction of the strategy in 2005, Zimbabwe has not been able to achieve this, as is the norm with many other countries across the globe (Rudo, 2013).

It is against this backdrop that Gwata's research seeks to underscore and understand the factors that have attributed to RBM not being successfully implemented from the managerial personnel's perspective being guided by the twelve challenges as outlined by Mayne (2009) as highlighted in the Zimbabwe Public Service. The research seeks to identify the specific challenges that are most prominent from the twelve, identifying strategies that can be put in place to address and mitigate the barriers to better improve the effectiveness of results-based management systems (Rudo, 2013).

In Kenya three research studies have been conducted on the implementation of Results Based Management System by Njoki (2011), Sylvia (2015) and Nguni (2017). The three studies sought to assess various aspects of RBM, Njoki (2011) and Sylvia (2015) research areas focused on assessing the implementation of RBM at the Department of Immigration and Ministry of Lands. However, their research studies did not borrow from the findings by Gwata (2013) on the factors impacting the implementation of RBM systems within the two government agencies. Nevertheless, Nguni (2017) work greatly adopts and draws comparison to both Gwata (2013) and Mayne (2007) research findings on the availability of capacities being a key component in effectively implementing RBM systems, therein lack of it has been noted out of the twelve challenges as being the most common from the assessment by the three researchers. Lack of technical know-how of operationalization of RBM system strategy then this automatically means the strategy will not be implemented effectively (Nguni, 2017).

2.7 Conceptual Framework

The assumption in the past was that results based management has been conceptualized into a results chain where an action undertaken at one level spikes a result at another, such that inputs - activities—outputs- outcome— impact. However, the United Nations Development System counters this remark drawing emphasis to the fact that the results chain does not comprehensively and exhaustively elaborate the effective optimization of results based management systems, further highlighting its function is to act as a guide providing direction on the line of enquiry the study should take.

However, it is important to note that, Mayne's (2007) research drew from a number of global organizations, identifying the six principles as being key to the effective implementation of RBM, hence the twelve challenges act as a barrier for institutions and organizations to effectively implement Results Based Management System. According to Sperckley the principles are outlined as shown below:

Figure 1 Principles for effective institutionalization of RBM system

Principle 1: Fostering a senior-level leadership for results-based management.

Principle 2: Promoting and supporting a culture for results.

Principle 3: Promoting and building a results frameworks through ownership at all levels.

Principle 4: Measuring sensibly and developing user-friendly results-based management information systems.

Principle 5: Utilizing results information for purposes of learning and managing , as well as for reporting and accountability.

Principle 6: Building an adaptive results-based management regime through regular review and update.

Source (Sperckley, 2009)

Mayne's (2007) six principles and The Joint Inspection Unit (JIU) Benchmarks have been used by several researchers such as Gwata Rudo (2013) and The United Nations (2004) as markers and a basis for their study in assessing the effective implementation of Results Based Management systems (Bester , 2012).

Figure 2 Benchmarks for effective implementation of RBM

Benchmark 1: Having a clear and well thought out conceptual framework for results-based management as a broad management strategy.

Benchmark 2: Clear definition of the roles and responsibilities of the organization's main parties.

Benchmark 3: Well formulated organization long-term objectives

Benchmark 4: Alignment of the programmes within the organization with the long-term Objectives

Benchmark 5: Alignment of the organization's available resources with the overall long-term objectives.

Benchmark 6: A functional and effective monitoring system put in place

Benchmark 7: Effective utilization of the findings from conducted Evaluations

Benchmark 8: Continuous effective Internalization of Results-based management by Organizations

Benchmark 9: Development of a knowledge management strategy used to support results-based management

Source (Sperckley, 2009)

Mayne (2005)'s study outlines the challenges categorized as organizational and technical that act as a barrier during implementation of the RBM system that is anchored on the optimization of the six principles of the Results Based Management.

Figure 3 Challenges faced while Implementing RBM

Organizational challenges

Fostering the right climate for results
Setting realistic and achievable expectations
Implementing and lobbying to get support and buy-in
Setting realistic outcome expectations
Selectivity of gathering and use of information
Avoiding distorting behavior
Accountability for outcomes

Technical challenges

Measurement of results
Attribution of programme results to the Intervention
Linkage between finances and the overall performance information
Credible and quality use of Data
Credible reporting on the performance

Source (Mayne, 2005)

2.8 Operationalization Framework

The study will adopt the Results Based Management Framework on the six principles as used by the Government of Canada (Auditor General of Canada 2000) as a tool to audit the efforts of implementing RBM system by NACC. The UN Secretariat has also adopted the Framework to fit the UN Agencies context and addressing the agency's needs. The Framework clearly outlines the measures that need to be in place as a result ensuring RBM flourishes within an organization, providing opportunities for improvement where gaps still exist. The framework has been used to assess the effectiveness of the six principles within the organization taking into consideration the fact that not all of the aspects within the framework are functional, however in the case that they are functional the question raised then becomes what is their level of functioning ensuring Results based management is effective . The framework assesses each principle thoroughly highlighting what needs to be in place for the RBM system to flourish within an organization, pinpointing the gaps that still exist and how best they can be improved on strengthening RBM systems.

The gaps that exist act as barriers to effective implementation of the RBM system within organizations. The framework serves as a tool that highlights the indicators on each principle that should be utilized in assessing the success of implementing RBM .

Figure 4 Proposed operationalization of the 6 principles of RBM system

Table 2: Principles and a Framework for Results-Based Management in an Organization

Principle 1. Foster senior-level leadership in results-based management

Effective leadership is essential if results-based management is to succeed and requires:

- 1.1 Demonstrated **senior** management **leadership** and commitment
- 1.2 A senior management **capacity** for results management

Principle 2. Promote and support a culture of results

Fostering an appropriate organizational culture of results is critical and requires:

- 2.1 **Informed demand** for results information
- 2.2 **Supportive organizational systems**, incentives, procedures and practices
- 2.3 A **results-oriented accountability** regime
- 2.4 A capacity to **learn** and adapt
- 2.5 Results measurement and results-based management **capacity**
- 2.6 Clear **roles** and **responsibilities** for results-based management

Principle 3. Build results frameworks with ownership at all levels

The organization needs to set out the overall and specific strategic results its programmes are collectively and individually intended to achieve and how best to structure itself to achieve them, namely:

- 3.1 A **strategic results framework**, outlining organizational objectives and strategies and major risks, aligned with the organization's programmes.
- 3.2 **Results frameworks** for programmes showing objectives, strategies and resources used, risks faced and the logic behind the programme design.
- 3.3 Reasonably clear and concrete **performance expectations** for programmes.

- 3.4 A **strategy for measuring** key results, including a manageable set of **performance indicators** for programmes and complementary evaluations.
- 3.5 **Ownership** by managers and staff of results frameworks that are **relevant and useful**.

Principle 4. Measure sensibly and develop user-friendly RBM information systems

The organization needs to gather and analyze credible information on performance through:

- 4.1 **Measuring** results and costs using both ongoing monitoring and evaluation, and **Assessing** actual results and costs in light of the performance expectations.
- 4.2 Assessing the **contribution** and influence made by the programmes to the observed results.
- 4.3 Building **cost-effective, user-friendly** and **relevant** RBM information systems.

Principle 5. Use results information for learning and managing, as well as for reporting and accountability

Realizing the benefits from results-based management requires:

- 5.1 **Using performance information** to inform and improve programme performance and budgets.
- 5.2 Identifying and **using best practices** to improve performance.
- 5.3 Credible **performance reporting** internally and externally, telling a coherent performance story.

Principle 6. Build an adaptive RBM regime through regular review and update

Implementing RBM is an ongoing learning process:

- 6.1 **Regularly review and update** all aspects of the RBM regime—frameworks, indicators, expectations, measurement strategies, systems and use—as to continued relevance, usefulness and cost.

Source (Mayne, 2007)

CHAPTER THREE

METHODOLOGY

3.1 Introduction

This chapter articulates the methodology used to collect data and the research design. It also highlights data collection methods, sampling techniques and data analysis methods utilized.

3.2 Research design

The study utilized a cross-sectional study design. The design method is a type of observational research method, whereby the research draws inferences about the population at one point in time. Data for the assessment was collected from the personnel charged with the responsibility of programme implementation within NACC. The above was supported with data obtained from document reviews.

3.3 Source of data

The study borrowed and domesticated an interview guide tool developed and utilized by (Rudo, 2013). When conducting Semi - structured interviews targeting the relevant programme staff at National Aids Control Council. The key personnel to be interviewed included a program coordinator, 2 program officers, 4 monitoring and evaluation manager and finally 8 monitoring and evaluation officers charged with the responsibility of programme conceptualization, planning, implementation and monitoring and evaluation.

3.4 Sampling Procedures

The research study utilized a non - random sampling methodology, whereby the researcher selects samples based on the subjective judgment of the research rather than random selection. A purposive sampling method was utilized as a non-probability sampling technique where the researcher selected and conducted semi-structured interviews with the key personnel at National Aids Control Council tasked or directly involved with the responsibility of programme planning, implementation and monitoring and evaluation of HIV interventions.

The interviewer ensured that two separate interview guides were utilized when conducting the interviews taking into account the power dynamics and leadership structure within the organization. The study targeted to conduct semi-structured interviews with 15 staff members consisting of a programme coordinator, 2 programme officers, 4 monitoring and evaluation managers and 8 monitoring and evaluation officers as the key informants of the research. However from the data collection process the researcher was only able to interview 12 out of 15 respondents.

3.5 Data collection

Zohrabi (2013) emphasizes the importance of utilizing the mixed method by adopting both qualitative and quantitative as the different ways of gathering information which will supplement each other hence boosting the validity and dependability of the data collected (Zohrabi, 2013). The researcher utilized an interview guide that assessed the status of implementation of the principles of RBM using the framework developed by the Government of Canada. An open ended questions guided by the indicators set for each principle to guide the semi - structured interviews with program managers, program officers, monitoring and evaluation managers and finally the monitoring and evaluation officers, serving as qualitative data was formulated.

The research was guided by evidence gathered from various sources including field visits where the actual data was collected, reports and documents were reviewed to support the information obtained from the conducted interviews.

3.6 Methods of data analysis

According to Kothari (1990), it is important that after the process of data collection, the data is processed and analyzed, which is of utmost importance in ensuring that all the relevant data is available for drawing comparisons during the analysis process. Kothari further defines the term analysis as the process of computing measures to assess patterns of relationships that may exist among the various data groups. Content analysis would be adopted when analysing the data where the researcher will be able to draw inferences from the feedback by the respondents of existing relationships or differences supporting or conflicting in responding to the research questions.

The research employed a qualitative data analysis approach that focused on the non-numeric information gathered from the semi-structured interviews. The approach allows the researcher to utilize open ended questions that allowed for in-depth exploring and understanding of the information shared. Taking into account the diverse experiences of the informants to obtain primary data on the level of knowledge, attitude and practices in the implementation of RBM systems.

The data analysis process involved transcribing and interpreting the twelve (12) interviewees of the collected raw data. The findings were classified according to the three research objectives drawing comparisons by reading and re-reading the transcribed data identifying the similar trends and themes in addressing and understanding the study findings drawing the study conclusion on the implementation of RBM and the challenges faced hindering the effective implementation of the system.

CHAPTER FOUR

ASSESSMENT OF THE IMPLEMENTATION STATUS OF RBM

4.1 Introduction

This chapter focuses on presenting the study findings from the semi-structured interviews conducted responding to the objectives of the study. The chapter explains the findings on the status of implementing each of the six principles of RBM as operationalized within NACC highlighting the barriers limiting the effectiveness of RBM.

Furthermore throughout the interviews there were several instances where the interviewees' were not comfortable with responding to the questions posed redirecting them to their supervisor as better placed to offer more information as a manager.

Table 3 Number of Respondents (Monitoring and Evaluation Division)

No	Department	Numbers Interviewed
1.	Data Officers	8
2.	Research Assistants	2
3.	Programme Officer	1
4.	Head of Division	1

4.2 Knowledge of Understanding RBM within NACC

This section of the study seeks to outline the research findings of the effective implementation of the six principles of results based management systems within NACC and how effectively RBM has been optimized within NACC. Through the interviewees the research sought to find out if the respondents had a basic understanding of what results based management is.

From the responses given by the team it was clear that most of the respondents were not able to clearly define what RBM is. Hence most of the responses were aligned to the definition of M&E. The responses solely focused on RBM being referred to as a tool or platform that consolidates all the indicators, targets and data to assess progress informing the decision making process. As opposed to defining RBM as a management strategy or approach that is utilized to improve performance by ensuring that results are achieved. One respondent, defined RBM as “a *platform where all indicators are, monitored and coordinated at a central system*”

Whereas two other respondents went ahead to respond to the similar question “as a system that can be used to measure progress towards realizing the set objectives “

“Is the results of the performance, especially what the organization is doing to get results or the performance of the organization, how it’s being managed.”

Therefore, from the feedback it was clear that the respondents are not clearly conversant with the RBM approach especially in understanding that the two approaches M&E and RBM system are two different components and that one cannot define the other.

4.2.1 Importance of Results Based Management System in NACC

Through the interviews, it was clear from the respondents that the RBM approach plays a significant role in the day to day operations since its introduction within the organization. Most of the respondents highlighted that through the RBM approach, NACC has been able to track the progress especially in realizing the expected results informing prioritization of resource allocation ensuring targets are realized and met, one data officer mentioning that *“It shows our progress in terms of where we are and where we need to be, and where we need to put in more resources”*

Furthermore, the respondents highlighted that the RBM approach has continuously been of importance in informing the overall process of formulating and reviewing the operational frameworks within the organization i.e. Kenya AIDS Framework and HIV response, prepared and submitted reports at all levels i.e. county, national up to the international level, which are continuously informed by the realized results ensuring relevancy. As a result, this in a great way informs the organizations programming especially when quantifying and formulating the interventions for prioritization and mobilization and allocation of resources. *“ For NACC the planning and even mobilization of resources towards HIV Management has been entirely because of Results based Matrices .In this essence when we quantify the burden of disease and different interventions then we can know where to prioritize and where not to prioritize and therefore we can decide to allocate resources .“*

One of the data officers, went on further to discuss the usefulness of the RBM approach according to their own perspective seeing their interaction with the system as being very useful

“It has been very useful, based on that results framework we have been able to come up with estimates every year so when we do the estimates every year we are able to monitor the progress, mid-term and end-term and we have already done our midterm evaluations of KASF. So if we did

not have the results based framework to measure some of the indicators within the KASF and the global monitoring tool which I think is what facilitated us adopting the Results based Model, it would have been very difficult for us as M&E team to know where we are. Right now we can be able to monitor our progress by year, we have results by year for example: If it was new infections seeing that our objectives are four, reducing new infections, reducing HIV/AIDS Mortality, reducing stigma and increasing domestic financing. We can do that every year through the Global Monitoring report (GAM), we are able to monitor our objectives that is the impact level we are able to tell because we look at the new infections. If we say we want to reduce new infections by 70% then we will know at what percentage we are at and where we have reached.”

Nevertheless, through the respondents, it more clearer that the RBM approach has been useful within the organization for quite some time since its introduction as mentioned by the respondent that *“The Monitoring and Evaluation Results based approach was actually introduced with the current KASF which is running because the previous one did not have a results framework and I believe it was introduced because of the global requirements since we signed the 2003 assembly meetings where all presidents and nations they come together to agree on the way forward for the world so during then there are so many things that are agreed on even the targets are given that is where the 90/90 targets were given ,as well as the three ones principles were prescribed and I also think it is the same place where this Results Based Management came from so that they can be able to actually monitor results by year.”*

The respondent further emphasized that as much as the RBM approach has been utilized within NACC for quite a period of time the relevance of the approach is pegged under the strategic plan that clearly underscores what results are expected, *“the processes that we have are harmonized by one we have a clear strategic plan that defines really what results are meant to do by what that time, by who, what role should be played by each player .we have the whole structure, on who delivers on doing what that is there. I would say that basically what we have is the three year strategic framework that defines what we need to do and how we need to do it ensuring the effectiveness and efficiency, being able to do things the right way and within the shortest time possible, all the resources that we always have both manpower and financial, so for me it is that there is quality, we are able to save on resources, and we are able to deliver on the mandate of what is expected of National Aids Control Council (NACC).”*

4.3 Principles of Results Based Management

The successful and effective implementation of RBM approach within an organization is heavily dependent on the operationalization of the six principles of RBM within the organization. These principles comprise of: Accountability; National ownership of results, Inclusiveness, Transparency, Evidence based learning and managing and lastly promoting and supporting a results culture. NACC, has further domesticated and adopted the six principles to fit the Kenya context as the overall HIV/Aids national programming body in the country in line with the current strategic framework. As a result, for the organization to effectively implement the RBM approach it is guided by the six principles comprising of ; results-based planning and delivery of the Kenya AIDS Strategic Framework, Evidence based high impact and scalable interventions , multi-sectoral accountability, country ownership and partnerships, rights based and gender transformative and finally enduring efficiency, effectiveness and innovation.

4.3.1 Fostering senior-level leadership in Results-Based Management

Through the interviews a few of the respondents underscored that the senior level management team have adequate capacity, especially when it comes to implementing the RBM approach. This is greatly attributed to the fact that the organization requires the personnel rendering their job applications to portray a wealth of experience, skills and knowledge in line with the job requirements. One of the respondents stated that: *“Yes, they have because at NACC every department has somebody managing that department and before you are at that level of managing that position, there are requirements that have to be followed so you don’t just have to hire somebody without that capacity. An example of the Monitoring and Evaluation Department, the Head of Division has to have the previous experience and capacity in Monitoring and Evaluation (M&E)”* whereas another respondent went on further to support that qualifications is key especially for one to be employed as at the managerial level *“Yes, they do because when we look at their credentials I think they are qualified”*

Furthermore, some of the respondents went on to highlight that through the capacity building opportunities then a platform exists for not only the senior level management but the overall team within the organization to continuously gain more knowledge *“...because there are consistent trainings and workshops convened continuously to empower the team “... we have a monitoring and evaluation division with people who are experts in monitoring and evaluation”*.

Other respondents alluded to the fact that the capacity of the senior level management was indeed adequate due to the fact that they are the final decision makers, whereas some indicated that at various instances the senior level management offered technical support to the teams in their various implementation regions through provision of trainings “... *They advise us on how to achieve our targets providing capacity building for the team*”.

Nevertheless , the respondent further shared on the organizational structure in that there exists different departments/ divisions led by heads who with their teams are solely held accountable for ensuring the division is on track in terms of realizing the expected results reporting to the overall organization’s management “...*we are able to monitor every quarter the senior management we have two levels , The senior management that has both the deputy directors and the heads of departments ,then we have the senior executives that has only the deputy directors and executive director. They monitor the progress of all departments in technical support. They are the ones who are supposed to give us these results for us to be able to achieve this. They are very committed as they assess the progress and if you are not on track they are able to come up with strategies with partnership with the specific division undertaking The Rapid Results Initiatives (RRR) to be able to Fast Track the process.*” In addition to that a key aspect that the entire organization zero’s in especially at the senior level management level on achieving results that greatly informs the reporting process of the organization in line with the set targets .

4.3.2 Promoting and Supporting a Culture of Results

4.3.2.1 Extent of RBM being embraced at NACC

The findings from the senior level management clearly supported the aspect of there being a culture of results within the organization seeing that a unified central HIV database is maintained within the organization supported by the existing systems and subsystems such as The Unified HIV response information system (UHRIS) that channels the collected data in line with the core KASF indicators that informs the overall organizational reporting process. Nevertheless, through the UHRIS all relevant stakeholders are meaningfully involved in the process ensuring that the information shared within the system is inclusive of everyone working around HIV Programming.

4.3.2.2 Measures ensuring a culture of results is sustained

The study findings revealed that measures have been put in place for promoting and sustaining a culture of results within the organization. Firstly, the NACC strategic plan as well as the monitoring and evaluation framework plays a critical role in outlining the goal, objectives, targets and indicators of the organization as mentioned by the respondent “.... *We have a clear strategic*

plan, divisional work plan with clear set targets that guides the quarterly reports we submit on the overall progress. Nevertheless, as a division we carry out quarterly assessments that are meant to assess the progress of the organization in achieving the set targets". As a result this guides the various departments and divisions when developing their yearly work plans and quarterly progress reports ensuring the desired results are achieved .A significant number of respondents saw the reporting process as a critical one within the organization that is utilized to assess the progress especially in realizing the overall organizational goal. The respondent stated, "... *The quarterly performance report compiled by all divisions is a key measure especially in tracking progress and performance by the organization in line with the set targets.*"

Furthermore, a data officer alluded to the various systems and subsystems developed by the organization in ensuring results are realized "... *Within the same Monitoring and Evaluation level, numerous systems exist that are informed by the HIV comprising of a Situation Room that overall collects the data from the following sub-systems, Community Health Information system utilized from the County up to the Community Level informing The Community AIDS Programme Reporting (CAPR)*".

4.3.2.3 Accountability to donors and stakeholders

The study findings revealed that the organization upholds both donors and stakeholders accountability by ensuring that systems are put in place an example of an inbuilt system referred to as an HIV Implementing Online System (HIPOS) which is an internal system utilized to monitor the achievement of results within NACC. Nevertheless, the management team emphasized that the model also tries to ensure accountability which is a two way process between both the organization, partners as well as the donors through monitoring the donor aid funding ensuring that the resources disbursed are in line with the organizations mandate . Furthermore, the Global AIDS monitoring framework that is developed by UNAIDS acts as a tool to guide the countries across the globe in identifying and formulating indicators for the Country's monitoring of the 2016 Political Declarations made on ending AIDS through modeling of In country relevant estimates.

Through the current existing Global AIDS Monitoring 2019 framework, NACC has been able to formulate country specific indicators that guides the organization especially when tracking progress through the AIDS implemented interventions and programmes ensuring they are in line with the global framework. The Respondent shared that "... *every year we have a global monitoring report that we share feeding to The Global AIDS Monitoring Framework as an international requirement, where HIV/AIDS focused development partners i.e. UNAIDS, WHO,*

USAID, PEPFAR, look at the country outputs on how well as a country we are doing in line with the set indicators”.

Nevertheless, a respondent went on to share that aside from the organization ensuring donor accountability, a key aspect the organization seeks to ensure that stakeholders are continuously engaged in the process of reviewing the country's progress and sharing their feedback.

“... We convene regular stakeholder meetings, which are held on a monthly or quarterly basis where developed reports are disseminated”

Whereas, the respondent emphasized on the internal systems developed to ensure accountability especially in line with the dispersed resources ensuring accountability to the donors and partners “ ... within the organization we have inbuilt systems which are supposed to monitor our results, such as ‘The HIV Implementing Partners online system (HIPOS)’ where implementing partners , are supposed to be reporting on a yearly basis on how much money they got and how the monies were utilized in the counties being accountable especially in line with the organization’s objective on Increasing Domestic Funding.”

4.3.2.4 Clear roles and responsibilities for Results Based Management

The study further noted that within NACC, the roles and responsibilities of each personnel specifically in the monitoring and evaluation department where the staff are subcontracted on a contract basis with their terms of reference clearly outlined of what their day to day roles and responsibilities. In addition , NACC as National HIV/AIDS programming body clearly stipulates the responsibilities of other like-minded partners within HIV/AIDS programming .Through its M&E Framework other entities such as The Ministry of Health (MoH), National AIDS and STI Control program (NASCOP) ensuring that organizations are only carrying out the roles specifically stipulated to them within the framework, as shared by the respondent “ *NACC’s M&E Framework on its last page clear roles and responsibilities have been given , on who is supposed to do what and the responsibilities are given, they always say who is the responsible person so that even when it comes to follow up you are able to follow up .*

Furthermore, the framework also provides guidance on who is involved in the various technical committees especially for The National KASF Monitoring committee, The County KASF Monitoring Committee where the monitoring and evaluation division team seat providing technical support as well as other monitoring and evaluation experts from the various institutions across all sectors and partners comprising of the private, public, development partners and civil society organizations.

“...we have a Strategic Information Team (SI) that is convened by NACC consisting of various institutions including The Network of People Living With Disabilities, implementing and development partners that play a key role in providing AIDS related specific information in line with the Country indicators “.

4.3.2.5 Factors Impeding the Support of a Culture of Results

Through the findings by the respondents it was clear that as much as a culture of results exists within the organization a few barriers still exist that act as an impediment to the realization of results . A significant number of respondents underscored that the main factor is the fact that most of the team lacks adequate capacity especially in utilizing the systems and subsystems developed within the division for tracking progress informing the reporting, where several respondents stated, *“... a key barrier is that the employees have not been sensitized on the importance of using results to inform the decisions, especially for the monitoring and evaluation department as one of our main pillars on informing the decision making process solely informed by the realized results.”*

Another data officer went on to share that, *“...the personnel lack adequate capacity, especially for those who utilize the various systems such as The situation room .For instance at the county level or regional level you find only one or two people have the capacity to fully access the system.”*

In addition, limited capacity building opportunities exist for the team to train on the various tools hence as a result translating to the poor usage of the tools developed. A data officer summarized the factors as, *“...lack of capacity, lack of Knowledge, lack of training opportunities”*.

Furthermore , the aspect of limitation of finances in the aspect of limited donor funding due to the shrinking donor spaces especially from the developed countries as a result this limits the team from conducting various data related activities . One of the respondents highlighted that, *“... if you don't have funding to do some things then at the end of the day it's more like an exogenous factor“* whereas another shared that , *“ ... Lack of enough resources , to undertake frequent Data Quality Assurance (DQA) that may end up affecting the desired results”* . Nevertheless, another key factor was on the aspect of having competing roles and tasks as a result one may not solely fully focus on the realization of results. One of the respondents shared that, *“... Majorly it is because of competing tasks where you find people are engaged in several other activities. This brings the process down as individuals end up diversifying their interests making it difficult to focus on what is really necessary ,impede the culture of results“.*

This then translates to the staff solely focusing on other responsibilities. Therefore, it's important for the organization to have clear structures and producers especially when contracting the personnel. As a result, ensuring the job description (JD) of staff are well detailed with their expected roles and responsibilities within the organization ensuring staff are not duplicating roles and efforts and each one of them is productive in performing their responsibilities within the organization. This would ensure that the organization realizes optimal staff duty performance in line with realizing results.

4.3.2.6 Supportive Organizational System

The findings indicated that only a few officers could really share their understanding of what a supportive organizational system is and should be. Therefore, the team was not well conversant to what makes the organization a supportive system for the realization of results. As a result, a significant number of the respondents shared that, “... a system where all personnel are aware of the objectives, working towards achieving the objectives and there is a common understanding of the roles each has to play” whereas another data officer stated, “...as a system that enables the staff and the personnel within the organization to be able to make sound decisions based on the realized results providing insights in what should be done looking at where we are coming from and where we need to go”. Another respondent shared that “.... This is where different departments within the organization work together to complement each other in order to attain the best of the desired goals for the institution”.

Nevertheless, the respondents further emphasized that the organization has continuously created an opportunity for the personnel to maintain the organizational systems promoting a culture of results within the organization. This has been realized through the various practices such as convening quarterly meetings for example hold divisional meetings with the monitoring and evaluation team, to share progress, best practices, gaps and challenges by the regional data officers. One respondent shared, “... quarterly and divisional meetings where we convene and share our progress as per the various regions, which happens frequently”.

Aside from that, the team alluded to the capacity building opportunities as a practice that exists that performs a critical role especially in building the skills and knowledge of the organizational personnel especially in relation to data, utilization of various developed systems for data reporting. Several respondents alluded to the training opportunities that exist within the organization, stating that “...Capacity building opportunities, the organization seeks to train all personnel pegged on the role of collecting and accessing data for example data entry, analysis and interpretation”.

Within the organization, personnel are incentivized through various mechanisms such as having an employee of the month award for both male and female that is usually presented at the end of the year to the identified personnel. A respondent shared, “...for the Last two years we had employee of the year male and female which is an incentive as a rewarding system”. This in turn motivates the employees to work hard in ensuring they are performing well in meeting their deliverables. Furthermore, within the organization in the past there existed a mechanism where the employees were also given a bonus for their performance in realizing the organizational objectives, especially with the reduction in HIV prevalence rate. One respondent shared, “... there is a year we got bonuses where as an organization we had realized the overall targets for that specific year in ensuring a reduction in the HIV prevalence rate in the country “. However the organization has not been able to sustain the incentive mechanism due to the limiting donor funding opportunities.

4.3.3 Built Results Framework with Ownership

4.3.3.1 Ownership of the NACC Results Framework

The assessment found out that within NACC, the different departments/divisions are meaningfully involved, consulted, and engaged especially when developing key organizational frameworks. A respondent stated that, “... all levels are engaged when the Results Framework is being developed , for example , a meeting was convened to discuss the framework, where people are able to share their views that they feel need to be incorporated within the system ensuring that staff own the framework . Furthermore, another respondent shared similar views “....when we are doing the mid-term evaluation and when developing the strategic framework every division/department is involved because different arms are responsible for different tasks. “

However, the level of involvement was not clear, since the findings presented a situation where the departmental or divisional heads are the ones who are engaged as compared to the respondents from the various regions. Nevertheless, opportunities exist where the respondents are meaningfully engaged especially during the various review and validation meetings when assessing the yearly HIV estimates. A respondent stated, “...For example, the development of the HIV Estimates a Task Force is nominated and a Technical Working Group (TWG) to look into the guidelines by UNAIDS. The committee is comprised of the Strategic Formation Committee comprised of staff from NACC, Co-chaired by NACC and NASCOP. The proposals for the membership are done by the Head of Monitoring and Evaluation and then adopted by the CEO. For the estimates I was part of the Committee that worked to develop the estimates in Embu County.” However it was not clear how often such opportunities exist for the data officers.

4.3.3.2 Supportive Documents showcasing The Ownership Process

In terms of there being documents in place within the organization supporting the ownership process, both the respondents referred to the strategic framework, with both of them stating that, *“...We have a clear strategic plan, that defines what needs to be done’, “....The Kenya AIDS Strategic Framework (KASF) has eight strategic directions so you will find under each strategic direction we have a committee.”*

Furthermore, the framework provides strategic directions especially in engaging the personnel within the organization. This acts as a guide when constituting the members from the organization who are meant to provide technical support with other like-minded organizations in both the private and public sectors reporting to the overall national strategic information team. The Respondent stated, *“.... You will find that at least someone from each division is involved in the committees providing technical support in line with their divisional expertise. The personnel from the monitoring and evaluation division mostly handle issues on realizing results as well as research. “*

4.3.4 Measure Sensible and Develop user-friendly RBM Information systems

4.3.4.1 Strategies for Measuring Key Results

The findings revealed that within the organization, a number of tools and strategies are in place, that are utilized to track the progress in realizing key expected results from the set indicators and targets. A number of the respondents alluded to the Kenya AIDS Strategic Framework 2014/15-2018/19 and the Monitoring and Evaluation Framework 2014/15-2018-2019 as two key documents providing strategic guidance to the realization of results. A data officer stated, *“...The Kenya AIDS Strategic Framework which outlines all the indicators that are measured at a global, regional, National and county level which are harmonized across all levels in line with the implementation work done by other stakeholders,”* aside from that another data officer shared, *“... the Monitoring and Evaluation Framework is a policy document that is used to measure the key results. Aside from that at the County level we have The County AIDS Strategic Plan pegged on the results matrix conducted on a quarterly basis which assesses where we are and where we were before.”*

Furthermore, aside from the frameworks, other tools and systems have been developed and strengthened within the organizations such as score cards, appraisals systems for example the NACC Appraisal Form, a respondent shared, *“...a score card that is used to measure the performance to assess if one has achieved a certain requirement, through the assignments given*

that have clear targets stipulated in the scorecard, with a feedback mechanism for the respondents “ whereas another pointed out that,” The appraisal system that measures key results. A standardized tool is utilized within the organization when conducting the appraisals referred to as a NACC Appraisal Form. Where one is appraised by their immediate supervisor as per the Job Description (JD)”

Nevertheless, NACC continuously develops and disseminates various evidence based documents that showcase the progress in realizing key results which comprise of, Kenya County Financing Profiles, The HIV County Profiles utilized by the organization in tracking the progress of the set indicators as well as targets. A respondent stated, “...The documents produced by the organization such as The HIV County profile track the progress of the set HIV indicators per county tracking the progress made at the grassroots level, providing information on which county is leading with the highest prevalence rate and incidence of AIDS related deaths . Further, there is an HIV Financing Profile which captures the sources of finances for various HIV programmes tracking the utilization of funds ensuring efficiency towards HIV Programmes”.

4.3.4.2 Evaluations

From the findings shared by the managerial team, it was clear that the organization mostly relies on the evaluations conducted by HIV /AIDS implementing partners as the organization acts as a coordinating body for the overall HIV program in Kenya. A respondent stated, “...we have had a few Impact assessments done , to see whether the amount of money that was put for the program on adolescents such as The Jijuwe’(Know yourself), ‘Jipange’(Plan yourself) ensuring that the allocated resources are appropriately utilized to tackle the new infections that were going up, especially for adolescents .However, as an organization we do not implement hence most times we do not carry out any impact assessments or evaluations .Hence, the organization focuses on the monitoring part focusing on the input to the output level . However, when it gets to the outcome and impact level where the evaluations are supposed to be done the organization then leverages on the evaluations done by implementing partners. Normally the organization utilizes the information to guide the resource mobilization process.”

Therefore, from the research findings, it is clear that due to the organizational mandate of acting as a coordination body for the forty seven counties, then, this limits the success of the RBM approach since results are limited from the input to output level. As a result, NACC is not able to assess further the outcomes and impact of the interventions put in place .The organization is limited

in supporting partner organizations especially when conducting impact evaluations which the organization cannot actually attribute their efforts to the realized results.

4.3.5 Use of Results for Learning, Managing, Reporting and Accountability

4.3.5.1 Use of Best Practices to Improve Performance

The findings of the study showcased that the organization continues to create opportunities for linking and learning as a platform for sharing what has worked, challenges faced and gaps that still exist in the various regions. As a result, the organization holds forums on a quarterly basis where the respondents from the counties are given an opportunity to share the gaps, lessons learnt and best practices that have been adopted from the specific regions ensuring results are achieved. Through the forums other officers are then able to adopt and borrow on what works best for their specific regions. A key best practice being the engagement of the county officials as a result contributing to the allocation of resources for HIV/AIDS programming within the counties. A data officer stated, “...engaging the counties starting from the Governor, Members of County Assembly (MCAs), Budget Committees at the assembly, Chief officers and The County Executive Committee (CEC) Finance, when lobbying for the budget allocation of resources for HIV/AIDS programming seeing that most of the counties are no longer seeing HIV/AIDS as a priority, ensures the goodwill and support by the county officials.” Furthermore, another key best practice, was the utilization of the community based reporting systems .As a result, this has been seen to motivate the sub-county AIDS constituency coordinators (SCACCs) to continuously utilize the system in reporting especially at the sub-county level on the HIV/AIDS programming and the results being realized from the interventions provided at the sub-county level that informs the regional reporting feeding into the National reporting system ensuring credibility of the reports submitted as a true reflection of the county provided interventions. A data officer shared: “the community based reporting system has been critical especially in linking the results being realized at the Sub-County level by the Sub-County AIDS Constituency Coordinators (SCACCs)”.

4.3.5.2 Credible Performance Reporting

This section presents the results on how NACC ensures credible reporting at both internal and external levels. This in turn ensures that the organization presents a coherent performance story of the realized results. A significant number of the respondents alluded to the frequently conducted DQAs as a result of the capacity building opportunities that the organization creates for the personnel ensuring that the team is adequately able to effectively conduct the DQAs. A number of officers stated, “... one key thing done within NACC is providing capacity building opportunities for the divisional team ensuring that they are able to effectively conduct DQAs ,in cleaning and

verifying data before its inputted within the system ensuring credibility “, whereas another shared, “ DQAs which are carried out by the regional officers normally supported by a national divisional personnel ensuring that what is reported is a true reflection of what is actually on the ground . During the DQAs we work closely with the constituency AIDS and STI coordinators and the regional HIV Coordinators, ensuring the process is inclusive and like-minded partners are part of the process ensuring data credibility DQAs its data that now you are sure of its credibility before it is actually feed into the M&E system . Furthermore, we do data quality audits at regional level and even at a systems level by looking at our systems and ensuring that the systems that we have are up to date.” .Whereas another data officer, pointed out that as much as the data quality audits are conducted by not on a regular basis “.... The frequent DQAs, however not regularly done, assist in getting accurate data “.

Aside from that, another key strategy that was alluded to by the respondents as utilized by the organization is convening a validation meeting sharing and disseminating reports and findings in line with HIV Programming. This enables key stakeholders including the community who are the primary beneficiaries of the interventions put in place, like-minded organizations and policy makers to validate the results shared as a true reflection of what is being done at the grassroots level. Several respondents shared, “...we have been able to conduct quite a number of validations, checking on what we have reported at the community level as it comes to the National team so that whatever is finally submitted within our systems is something that is credible and it is a true reflection of what is being reflected at the community level. “Whereas another shared, “...the organization robust validation measures both internally and externally. Internally there is a countercheck , for instance if one does an analysis or presents data it has to be cleaned and re-checked again then after that it has to be validated by the seniors after which the CEO for the final review. Once its accepted the information then is sent to our regional officers so that they can give their inputs then it proceeds to be taken to the stakeholders and partners for a final validation process before its disseminated .So there are various steps of validating so that if the data is published and disseminated it has the buy-in and ownership of all “ and lastly , “....through the engagements with the counties during the validation meetings of data quality reports as a result ensures ownership and buy-in supporting the shared results “.

Lastly, the organization ensures that during the process of contracting their personnel their roles and responsibilities are clearly stipulated ensuring they are well conversant with the organization’s expectations of each of them. As result during the requirement process a clear performance contract, referred to as a job description that ensures the organization is able to track their

performance. A data officer stated, “... *Performance Contracting indicators are used to determine how much performance NACC has had and then the personal performance contacting within NACC and its employees are used now to measure individual performances . The NACC county units collect information which is channeled to the National Government so we speak the same in this essence our roles are not duplicating each other that whatever the County staff are doing they are doing in collaboration with other health workers. So before they can come from the county level they have had different checks and balances to ensuring that all these things are updated and they are aggregated at different levels of management at the county level. So once they come to The National Government the information therefore shared is now brought together and we also call on the Counties to validate whether the information that we have is accurate , so that increases the level of trust and even the credibility of the information that is shared.*”

4.3.5.3 Utilization of Performance Information

The results from the interviews with the respondents, showed that the performance information plays a critical role in providing guidance on the planning process informing the organization especially when developing the targets in line with the budget allocation process .The respondent stated,”.....*Performance information guides the process of allocation and reallocation of resources that is guided by the set organizational targets*”. Furthermore, the performance information is critical in informing the programming planning process especially in ensuring prioritization focusing on the gaps that still existing and coming up with possible solutions. As a result the information plays a significant role in informing the budget allocations, especially when it comes to prioritization of interventions delivered by the organization. The respondent stated, “..... *A mode of transmission study was carried out looking at the statistics realized in line with the set targets, as a result the findings showed that the programme was focusing on the wrong cohort. The organization then started campaigning to reduce infections among the married couples as the target group. As a result, the resources are channeled the right way and the right interventions are put in place.*”

4.3.6 Adaptive Results Based Management Regime

The study found that the Kenya AIDS Strategic Framework 2014/2015-2018/19 is the document that acts as a guide in the operations within the organization. Furthermore, the framework is realigned to the overall countries vision 2030 goals, in outlining the indicators, targets of what the organization seeks to achieve promoting effectiveness and efficiency. A respondent shared, “... *everything that we are doing should be in line with the Country Vision 2030 .It should also be in line with our National strategic plan which is The Kenya AIDS strategic Framework*”. The

strategic plan is usually reviewed at a point when a problem is realized especially when developing the HIV estimates, to address issues that may arise especially of there being situations where redundancy occurs especially with the achieved results. The results realized act as a guide in informing the development process when formulating another strategic framework. A respondent stated, “...NACC’s results *based model is usually linked to current KASF. As an organization the day to day operations are guided by the framework up until it gets to the time that it expires. Once it expires, we then come up with another strategic framework. Therefore, we only revise the framework when we realize there is a problem in terms of a gap existing especially when running the estimates that then means adopting new organizational strategies as a result the process then influences the overall results model will change.*”

4.4 Challenges Faced while Implementing Results Based Management System (RBM)

4.4.1 Overall Organizational and Technical Challenges Faced by NACC in Effectively Implementing Results Based Management System (RBM)

This section seeks to address the two research objectives in identifying the technical and organizational challenges faced that act as a barrier in the effective implementation of the Results Based Management System within NACC with the support of past study findings by other researchers . Through ,the research findings it was clear that , indeed the effectiveness of utilization of the Results Based Management System is limited due to two main challenges as per the responses by personnel interviewed .These were on inadequate capacity building opportunities as well as limited or inadequate finances that limit the effective operationalization of result based management systems .

Most of the personnel within the organization, identified inadequate capacity building as a challenge since the personnel within the organization are not continuously created for opportunities through the organization to build on their skills and knowledge especially in utilizing the various developed systems such as conducting data quality assurance. Respondent shared, “...*There exists inadequate trainings and capacity building opportunities especially at the county level on the primary sources of data that can be strengthened through county engagements ensuring that data aggregated at the National Level is a true reflection of the county situation ensuring its accuracy* “ whereas two respondents stated that , “... *Limited access to expertise , as the personnel don’t have adequate capacity , which should be worked on, especially in relation to the effective implementation of Results Based Management System*”, ”..... *As the people utilizing the system we need to be trained to be able to understand it and at times if we are not well trained our capacity when handling the system maybe comprised* “.

Gwata Rudo (2013), research findings also underscored the lack of capacity either at the individual or organizational level as the most significant prominent challenge greatly limiting the effective implementation of RBM system within the Zimbabwe Public Service. The findings attributed to the fact that the personnel within the organization not being fully cognizant of the RBM concept. The findings also showcased that in most instances it is the middle level and senior level management personnel that are continuously capacity built and prioritized when such opportunities present themselves leaving out the lower level staff who were seen to have limited capacity as they do not receive any opportunities to be trained.

Furthermore, the research presented findings on issues to do with limited finances that ensures the functionality of the whole RBM system approach. Lack of sufficient resources then this means that the organization is not able to provide opportunities for capacity building, aside from that also in a great way hinders the realization of results if the organization is not able to operationalize its strategic framework with clear set targets and indicators that act as check points in assessing progress. Therefore, if there is no input to support the activities, then automatically no outputs, outcomes or impact will be realized. A respondent shared, “... *limitation in actualizing all the developed interventions within the current developed framework, is as a result of Inadequacy of resources as not all the developed targets and indicators will be realized through the limited provided interventions. As a result, you end up finding that you have missed opportunities on the interventions as there is no money to fund them.*” Furthermore, another respondent shared, “...*The major organizational challenge has been on securing finances, and hence as an organization we are not able to sustain our systems*”. *The monitoring and evaluation team also took into consideration that the challenge on limited resources is actually a broader view pegged on the limiting donor funding space that acts as a barrier. This is a result of the development partners choosing to focus on other reproductive health areas, “The resources, when you think of the resources we are saying that the resource envelope is shrinking in every aspect and therefore that may act as a barrier. As a result limiting the implementation process of the strategic framework especially in measuring results achieved well agreed upon and very clear.”*

The unavailability of resources was a major challenge identified in Gwata Rudo (2013) findings which contributed to the ineffectiveness of the RBM approach. Through the resources were either not received or in several instances they were not disbursed on time hindering the implementation process that would contribute to the realization of results. Gwata further points out in the study

that for RBM to be successfully implemented, there is a need to ensure adequate resources are in place.

However, other key challenges that came up during the one on one informant interviews are on issues of bureaucracy within the organization especially when it comes to making the decision making process from the top management to the bottom level. As a result this limits the effectiveness of the implementation process that then takes a longer period of time .One respondent shared, *“The level of Bureaucracy especially on the implementation of decisions is slow. As much as at one point decisions are made , yes, on the ground however the challenge comes in with translating it to action , which is the implementation process “*. Furthermore, another challenge shared was that the developed systems are usually online friendly, hence most of the respondents within the regions are not able to effectively utilize them as a result of non-availability of networks. Seeing that most of the regional officers reside within the various remote counties then access to sufficient network becomes a challenge as a result this limits the utilization of such online based systems. One respondent shared, *“.... due to the network connectivity as most of the systems might not operate when there is no network, either due to black outs ,this greatly affects the full utilization of the system.”*

Nevertheless another challenge was the competing roles by the subcontracted personnel supporting the respondents at the grassroots level in filling the online data tools. Due to the fact that they are not employed by the organization then this leads to them taking on other roles. As a result this greatly affects their performance in fulfilling their duties contributing to their underperformance. A respondent shared, *“Working with the sub-county aids coordinators they are the people that deal with the community at the sub-county level that is the constituency and the county level and this people are seconded to NACC ,as public health officers they have also other competing roles at their own level. The competing roles results in their underperformance on their tasked NACC duties then following up with them seems like we are overburdening them and yet they are not staff within the organization.”*

4.5 Summary

This chapter presented the analysis and findings of the research, through the semi-structured interviews with the monitoring and evaluation team at NACC. The findings addressed the two objectives of the study assessing the organizational and technical challenges faced by the organization in effectively implementing the RBM systems. Relevant documents including the monitoring and evaluation framework 2014/15-2018/19 and the 2014/15-2018/19 Aids Strategic

framework were reviewed to inform the research process as indicated within the literature review section.

The findings revealed that NACC has fully embraced the RBM approach within the organization since that measures and systems are in place within the organization. The organization has two operational frameworks that guide the organization in realizing results which are currently being implemented, the monitoring and evaluation framework 2014/15-2018/19 and the Kenya AIDS strategic framework 2014/15-2018/19. The frameworks act as a basis for the organization to ensure that the set targets and indicators are been tracked assessing performance in achieving the overall goal of reducing the HIV prevalence rate in the Country.

These two frameworks are mainly overseen by the monitoring and evaluation division within the organization with the support of other divisions. The organization provides opportunities for the team to share the best practices, challenges and gaps that still exist within the various regions in realizing and achieving results. However, as much as efforts and systems have been put in place still quite a number of challenges linger that act as a barrier in the effective implementation of RBM systems. Two key challenges were crossing cutting especially with the information shared by both the management and the data officer's inadequate capacity building opportunities and limited finances further supported by past research findings as highlighted in the literature review section by Gwata Rudo (2013).

The personnel within the organization, identified the inadequate capacity building opportunities as a huge challenge. Since the organization is not able to create opportunities and platforms for the staff to continuously build on their knowledge and skills especially in utilizing the various tools and systems developed for data collection as a result this contributes to the inadequate capacity of the staff .As a result most of them are not able to effectively utilize the tools developed while entering data which affects the reporting process.

Furthermore, with the donor spaces shrinking then this contributes majorly to the limited resources. This greatly limits all the operations of the organization affecting the overall functionality of the RBM approach. In the sense that the organization is not able to support capacity building sessions for the personnel and limiting the strengthening and review of the data collection tools and systems developed ensuring they are on track especially in assessing progress of implementation of the strategic framework.

Other key challenges faced within the organization highlighted by the staff at NACC were, on issues to do with the bureaucracy systems within the organization that affects the decision making process within the organization from the top level management to the bottom level. The developed systems such as the tools are shifting from manual to adopting online systems. Due to the regions in which the respondents are based in the remote counties as a result accessing the systems and tools becomes challenging due to connectivity and networking issues. Lastly, the organization closely works with sub-county aids coordinators who are contracted on a voluntary basis, since they are not paid as staff within the organization then most of them end up not prioritizing their roles within the organization due to other competing roles.

CHAPTER FIVE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter presents a summary of the findings of the challenges, conclusions and recommendations.

5.2 Summary

The study was conducted to determine the challenges hindering the effective implementation of Results Based Management System within NACC in line with the six RBM principles. As a result, the study sought to assess if indeed NACC as an organization has put in place measures that contribute to the realization of results especially since the organization is not directly charged with the responsibility of implementing but providing a coordination role by harmonizing all the results that are HIV/AIDS related from like-minded organizations at the national level.

The findings revealed that indeed the RBM approach is operational within NACC since the strategic plan outlines how the organization has domesticated the six principles to fit the Kenyan context in line with HIV/AIDS programming. As a result, the principles adopted within the strategic framework comprise of; results-based planning and delivery of KASF, Evidence-based, high Impact and scalable interventions, Multi-sectoral accountability, Country ownership and partnership, Rights-based and gender transformative approaches and Efficiency, effectiveness and innovation. These six principles provide a basis for the assessment of progress in terms of the effective implementation of RBM systems.

The study found that the senior level management had adequate capacity for implementing the RBM system based on their experience, job credentials, and requirements when submitting their applications during the recruitment process. A culture of results is maintained within the organization seeing that it performs a coordinating role for the overall HIV/AIDS programming within the country. The organization has furthermore strengthened this aspect at an internal level where the various departments are mandated with the responsibility of submitting status update reports on a quarterly basis.

Systems and subsystems are in place to ensure continuous capturing of data in line with the KASF indicators .The information derived from the systems and subsystems is overall feed into a coordinated central systems which is the HIV database that supports the functionality of the

UHRIS, which channels all the data received from the various sub-systems. The organization has numerously utilized various tools such as score cards which are continuously used to assess the performance in line with the set indicators in achieving the targets within the strategic framework.

The study found that the performance information is critical in informing the organizational planning process, resource allocation and reporting process. The information provides guidance especially when setting targets ensuring that they are re-aligned to the available resources especially in addressing the identified existing gaps in line with HIV/AIDS programming in the Country.

The findings indicate that as much as the RBM approach has been operationalized within the organization still quite a number of challenges exist that act as a barrier in the effective implementation of RBM system. The study found that the two main challenges were dominant throughout which were; inadequate capacity by the personnel within the organization to fully operationalize the RBM approach and limitation of finances. This was majorly contributed to by the organization not being able to provide continuous opportunities for their personnel to be capacity built. As a result, this influences the consolidation of data at the national head office as gaps emerge as a result questioning the credibility of the results.

The organization is not able to provide and sustain opportunities for capacity building for the staff as well as maintain the functionality of developed and designed systems and subsystems. However, the team working within the monitoring and evaluation division emphasized the fact that the limitation of funding is an external challenge that in most cases goes beyond the control of the organization, especially as a result of the donor shrinking spaces affecting not only NACC but many other like-minded CSOs.

Furthermore, other challenges comprise of issues of bureaucracy, especially when it comes to the decision making process from the top management cascading to the bottom level. Finally, most of the systems and tools are online based, hence accessing them in remote areas with poor network connectivity becomes a challenge when recording data.

5.3 Conclusion

The key conclusions arising from the above findings are that, NACC has put in place measures operationalizing the six RBM principles ensuring the effectiveness of the RBM system. However, gaps still exist that limit the effective implementation of RBM systems. This comprises of inadequate capacity building of the personnel especially at the lower levels of organization in utilizing the tools, systems and subsystems developed to capture, collect and record data .This has

been greatly contributed to by the limitation of resources within the organization due to the donor shrinking funding spaces and opportunities on HIV programming .

5.4 Recommendations

5.4.1 Recommendations for Policy and Programmes

This section focuses on two recommendations seeking to address the two main challenges identified as:

5.4.1.1 Adequate Capacity

It's against this background that the organization needs to constantly provide capacity building opportunities on data collection, analysis and reporting for the staff within the organization. As a result this will greatly influence and improve the organization's reporting process on achieved results through the captured data. Another recommendation to the organization is that there is a need for continuous monitoring of the progress in utilization of the tools developed by the division team especially at the management level. Assessing if the tools are relevant in line with tracking the indicators, as a result mitigating gaps that exist at an early stage.

Another recommendation is that the organization needs to strengthen their engagement especially when it comes to the role they play during the evaluations conducted. As much as the organization is mandated with the coordination role for HIV/AIDS Programming within the country. A huge gap still lingers, especially when it comes to the organization attributing their role in realizing the overall results realized especially at outcome and impact level.

5.4.1.2 Sufficient Financial Stability

Another recommendation is that the organization needs to create innovative and sustainable funding mechanisms, especially with the rapid shrinking donor funding opportunities due to the shift of focus by development partners. The organization can look into integrating HIV programming with other health related issues for example uptake of family planning.

5.4.2 Recommendations for Further Research

The recommendations for further future studies include, assessing the effects of continuous capacity building personnel on RBM system and its influence on the successful operationalization of RBM system within the organization Furthermore, there is also a need for further research on the role of incentives in ensuring the successful implementation of RBM systems.

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APPENDICES

Appendix I: Discussion Guide for Key Informant Interview

The interview guide will be used when conducting one on one interviews with The Thirteen (13) Monitoring and Evaluations officers/ Data Clerks at National Aids Control Council .

Hi, my name is Beverly Nkirote , I am here to assess the challenges faced by National Aids Control Council while implementing Results Based Management (RBM), which is the focus of my project for M.A. in Monitoring and Evaluation of Population and Development Programmes at the University of Nairobi, Population Studies and Research Institute (PSRI). Since you are the key person to consult, I would like to hear your thoughts, feelings, observations, and experiences of the program in the approach. This is not a test, and there are no right or wrong answers so you should feel free in giving your answers. Your name will not be recorded with your answers, and everything you say will be kept confidential and will only be used to write the final project report. What I would request is that you answer honestly on what you really think or feel. If there are questions that you do not want to answer, that is fine. If you do not understand the question and need more clarification, kindly ask.

A) General Information

Date of Interview:

Job title:

Department:

B) Introduction of RBM system

- a) Describe your understanding of what is meant by results based management system?
- b) To what extent has the RBM approach being useful so far?

C) Principles of Results Based Management (RBM)

1. Foster senior-level leadership in results-based management

- a) In your opinion do you think the senior level management at NACC has adequate capacity for implementing the results based management?

2. Promote and support a culture of results

- a) In your opinion do you think NACC has been able to put in place measures that ensure a culture of results is established and sustained?
- b) What do you think impedes the support of a culture of results within NACC?
- c) How would you describe a supportive organizational system? Give me examples of incentives, procedures and practices put in place?

3. Build results frameworks with ownership at all levels

- a) Do you think there is ownership by all staff at different level of the NACC Results Framework? If yes give reasons?

4. Measure sensibly and develop user-friendly RBM information systems

- a. Describe the strategy used for measuring key results that includes a manageable set of performance indicators for programmes and complementary evaluations? Are there any documents in place to support this? If yes kindly state them?

5. Use results information for learning and managing, as well as for reporting and accountability

- a. Give me an example of a scenario where best practices have been identified and used to improve performance?
- b. Describe how NACC ensures credible performance reporting both internally and externally, ensuring a coherent performance story?

D) Challenges faced while Implementing Results Based Management

- a. Can you describe if there has been any organizational or technical challenges experienced that act as a barrier to the effective implementation of RBM system within NACC?

Appendix II: Discussion Guide for Key Informant Interview

The interview guide will be used when conducting one on one interviews with The Two (2) Monitoring and Evaluations Managers at National Aids Control Council.

Hi, my name is Beverly Nkirote, I am here to assess the challenges faced by National Aids Control Council while implementing Results Based Management (RBM), which is the focus of my project for M.A. in Monitoring and Evaluation of Population and Development Programmes at the University of Nairobi, Population Studies and Research Institute (PSRI). Since you are the key person to consult, I would like to hear your thoughts, feelings, observations, and experiences of the program in the approach. This is not a test, and there are no right or wrong answers so you should feel free in giving your answers. Your name will not be recorded with your answers, and everything you say will be kept confidential and will only be used to write the final project report. What I would request is that you answer honestly on what you really think or feel. If there are questions that you do not want to answer, that is fine. If you do not understand the question and need more clarification, kindly ask.

A) General Information

Date of Interview:

Job title:

Department:

B) Introduction of RBM system

- a. Describe your understanding of what is meant by results based management system?
- b. When was results based management approach introduced at NACC and why
- c. To what extent has the approach being useful so far?

C) Principles of Results Based Management (RBM)

1. Foster senior-level leadership in results-based management

- a. How would you describe the senior level's management's commitment to achieving results?

2. Promote and support a culture of results

- a. To what extent has the RBM approach being embraced by staff within NACC?
- b. In your opinion what measures have been put in place within NACC to ensure the culture of results is established and sustained within NACC?
- c. Has accountability to donors and stakeholders improved since the introduction of results based management at NACC? Comment on why you think the accountability has or has not improved?
- d. Can you explain if a clear role of responsibilities for results -based management exists in NACC?

3. Build results frameworks with ownership at all levels

- a. Do you think there is ownership of the NACC Results Framework by management at different levels within NACC? Give reasons if yes.
- b. Are there any supporting documents that showcase the ownership process of the NACC Results Framework? If yes could you kindly state them?

4. Measure sensibly and develop user-friendly RBM information systems

- b. Have there been any evaluations done within NACC? What are the findings from the evaluations done? If yes can you share the relevant documents showcasing this?

5. Use results information for learning and managing, as well as for reporting and accountability

- c. Describe how the performance information is used to inform and improve programme performance and budgets of your programme?

6. Build an adaptive RBM regime through regular review and update

- a. Can you explain how the aspects of the RBM regime- frameworks, indicators , expectations , measurement strategies , systems are regularly reviewed and updated to ensure continued relevancy , usefulness and cost ?

D) Challenges faced while Implementing Results Based Management

- b. Can you describe if there has been any organizational or technical challenges experienced that act as a barrier to the effective implementation of RBM system within NACC?

Appendix III: Research Approval Letter



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4th December, 2018

To the Monitoring and Evaluation Manager
National Aids Control Council
PO BOX 61307-00100
Argwings Kodhek, Road
Nairobi, Kenya.

Dear Sir

RE: RECOMMENDATION FOR MUTWIRI BEVERLY NKIROTE FOR DATA COLLECTION

This is to request for permission for the above named student in our Institute who is in her final year undertaking her research project to collect data for the purposes of the research project. Her topic of study is 'Assessment of challenges faced by National Aids Control Council while implementing results based management systems.

Your assistance will be highly appreciated.

Yours faithfully


Anne Khasakhala, PhD
Director, PSRI.

DIRECTOR
POPULATION STUDIES &
RESEARCH INSTITUTE
UNIVERSITY OF NAIROBI