ASSESMENT OF THE NATIONAL INTERGRATED MONITORING AND EVALUATION SYSTEM IN KENYA

BY

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DECLARATION

This research project is my original work and has never been presented in any University for a degree course.

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This research paper has been submitted for examination with our approval as University Supervisors.

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DEDICATION

I dedicated this research paper to my family and my M&E colleagues that have been my source of inspiration throughout the period of conducting research and compiling this study and Jehovah, my God, for His Love, Mercies and Favor as a shield.

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ABSTRACT

In Kenya, there is the National Integrated Monitoring and Evaluation System (NIMES) that is meant to integrate M&E systems in the country. The integration entails not only bringing the M&E systems together but more so enabling them as a whole to support good decision making. However, the question is whether this integration is being done effectively or not. The study therefore seeks to respond to this question by carrying out an assessment of the NIMES.

The study employs the 12 components M&E strengthening tool proposed by the UNAID (2009) for assessing Monitoring and Evaluation Systems. The study employs the Delphi approach and purposive sample selection methods as it applies the 12 components M&E strengthening tool.

Results from the study indicate that Kenya's NIMES is only fairly functioning given the several aspects that are missing or not being done. For example, supportive supervision and data auditing is hardly ever done, similarly evaluation and research agenda is not institutionalized and neither is it being frequently set.

The study recommends increased follow up on the going on at the secretariat housing NIMES to ensure adequate support to operationalize all the M&E components with priority to the components on Surveys and surveillance and on Supportive supervision which are the worst functioning components within NIMES. These two would have an impact on all the others.

Owing to various limitations in the study including inability to state clear significance levels of each component to NIMES and the general low statistical power of the study, it was recommended that other studies be carried out with higher inclinations to statistical power and assigning of significance of each component so as to allow informed prioritization of support to operationalization of the components.

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CHAPTER 1

GENERAL INTRODUCTION

1.1. Back ground

With the current globalization and therefore a need for competitive advantage to whatever country, Governments are making effort to better manage their resources (GoK, 2008). This has created a need for adopting tools for improved management. Monitoring and Evaluation (M&E) is a main component for any improved management. This is the management that bears results or largely referred to as Result Based Management (Khadija et al., 2003).

Various countries especially in the developing world have thus set up structures to help ensure improved monitoring and evaluation. This have largely been in the form institutionalizing M&E through various National of Integrated Monitoring and Evaluation Systems (NIMES) or others of national outlook (Twende Mbele, 2017)

1.2. Results Based Management

Results Based Management is defined by the United Nations Development Programme (UNDP) as an approach where those involved directly in an initiative apply all resources available towards the achievement of organizations' identified goals or objectives (Angela, 2012). It is an approach that culminates from Peter Druckers 1954 Management by Objective (MBO) concepts. RBM was adopted from the early 2000s during the pursuance of Public Sector Reforms initiatives that were introduced in the late 90s as a way of shifting focus to service for clients (Asian Development Bank 2006).

The increased pressures directed to governments across board in the world by their citizens and those partnering with them in development require more and more demonstration of accountability, transparency and value for money. This is even as the governments pursue results for their people. These pressures have helped promote RBM as the solution to the many developmental challenges (Meier, 2003).

The core of the approach calls for generation of information meant for decision-making. Information is what managers and administrators greatly require to be able to achieve own effectiveness in various organizational mandates they have. Information allows them to be in charge and have control over the various activities they are responsible for. With more

information, the managers are much able to have a global view and so avoid the activity trap that generally blinds many from higher results levels (Beaural of Strategic Planning, 2007).

1.3. Monitoring and Evaluation

As mentioned, Monitoring and evaluation is the main component in the management that bears results. Monitoring and Evaluation are essentially two complementary terms in which Monitoring continuously keeps track of the implementation processes of policies, programmes, projects and activities. Monitoring entails collection of data for analysis to determine adherence of performance to the set standards or requirements (targets) leading to achieving of objectives and eventual goals of the project. On the other hand, evaluation is a periodic reflection done on a policy, program, project or activity in an objective and systematic manner. It is meant to determine the extent to which a policy, programme, project or activity has successfully realized its objectives. It involves assessing the relevance, sustainability, impact; effectiveness and efficiency of implementation including cost of activities that further help determine value for money. From evaluations, opinions are made regarding the quality of tasks or lessons learnt for improved decision-making and planning (GoK, 2015).

The application of M&E as a management tool is intended to ensure the keeping on track of initiatives' implementation towards effectiveness and efficiency by increasing accountability and transparency in initiatives. M&E has been going through an improvement loop from traditional M&E which focused on outputs to Result based M&E which focuses on outcomes and impacts in an effort to answer the so what question (Kusek andRist, 2004). There has been introduction of various other perspectives that are largely alternative approaches within the results-based M&E, these include outcome mapping that was introduced in 2001 by the International Development Research center in Canada. It focuses on actors by enabling them to bring about the change they desire (Smutylo, 2005). The other is outcome harvesting by Ricardo Wilson Grau, Barbara Klugman, Claudia Fontes among others which first identifies various actors and then seeks to identify the outcomes they have realized (Wilson and Brit, 2012).

Whereas M&E is an important part of result-based management, it is not an end in itself but rather a means. M&E is supposed to help improve interventions by creating tight relations between resources and initiative implementation (Pazvakavambwa and Steyn, 2014).

1.3.1. Situation of M&E

Monitoring and Evaluation is a recent phenomenon in the official government management around the world. It was introduced largely after the Management by Objective approached of the 1964. However, the M&E focus issues of accountability have traditionally been a practice in most western cultures. In Africa, one of the places recorded to have applied M&E as a tradition/ culture is the ancient Egypt where grain harvesting and reserves were monitored (Kusek and Rist 2004).

There is currently a strong focus on accountability issues in governments with the introduction of Monitoring and evaluation systems e.g. in South Africa, Benin, Ghana, Zimbabwe, Uganda, Kenya among others.

1.3.2. Chronology of M&E in Kenya

Monitoring and Evaluation was first introduced in formal government development planning agenda in 1983 under the District focus for Rural Development. This had preceded the 1984-1988 development plans. The strategy sort to increase participation of citizens in the local development matters through decentralization. Various committees were formed through the provincial administration where the District commissioners were the Chairmen to the District Development Committees and the District Development Officers were the secretaries. M&E was however simply an ad hoc exercise (W.E.S. Omoto, 1988).

M&E remained on the periphery in government until in 2000 when it re-emerged in the development planning during the Interim Poverty Reduction Strategy Paper and in 2001 during the Poverty Reduction Strategy paper. However, the M&E in these was simply largely focused at the national level. With the introduction of the Economic Recovery strategy in 2003-2007, M&E was thrust to the fore with specific structures that allowed the creation of the National Integrated Monitoring and Evaluation System (NIMES) in 2004. With the introduction of the Kenya vision 2030 economic blue print, M&E was made more prominent in the tracking of the vision (GoK, 2015).

1.3.3. The NIMES

Initial efforts at introducing M&E in Kenya were done under various economic plans including the District Focus for Rural Development and Poverty Reduction Strategy Paper introduced in 1983 and 2001 respectively. As noted, these efforts faltered variously and no effective/comprehensive systems were eventually affected. Under the Investment Programme for

Economic Recovery Strategy (IP ERS) however, Kenya government launched the National Integrated Monitoring and Evaluation System as a comprehensive national system to guide M&E in the country. The IP ERS purposed to have an M&E system that would give government access to reliable ways of measuring efficiency and effectiveness of government programmes and projects respectively. It was to also give feedback on policy implementation for efficient resource allocation (GoK, 2005).

Further on, GoK states that the system was to set a basis that would allow for a transparent process for shared appraisal of results and therefrom the consequent budgetary support. The National Integrated Monitoring and Evaluation System was institutionally placed under the then Ministry of planning National Development and Vision 2030 but is now under the National Treasury and Planning; State department for Planning and specifically in the Monitoring and Evaluation Department.

NIMES has five strategic results areas with five technical advisory groups aligned to these strategic areas. The strategic areas are; -Indicator development, data collection and storage systems. These allow for data collection from government, civil society and from private sector players at the central and devolved levels. They were therefore to be considered as National and Sub-National M&E systems. The second strategic results area focused on the Projects monitoring systems at the central and devolved level. Integrating of M&E data collection systems and the coordination of these for data analysis and the related research efforts was the third strategic result area and Dissemination for advocacy and sensitization the fourth result area. The fifth strategic result area is the Institutional arrangements including policy development for coordination and capacity building for the National Integrated M&E Systems. Each of the result area is led by an advisory group. The advisory groups draw membership from select Government departments, Non- Governmental Organizations, Civil Societies, United Nations bodies, media houses, other Private sector representatives and the World Bank as may be helpful to the focus area (GoK, 2005).

For effectiveness of NIMES, line ministries were directed to transform their Central Planning Units (CPUs) to Central Planning and Project Monitoring Units (CPPMUs) to carry out among others the role of monitoring and evaluation at the ministries. The officers at the CPPMUs being staff of the ministry of planning seconded to line ministries therefore provided a link with the

NIMES (Anders 2015). Similarly, counties are setting up County Integrated Monitoring and Evaluation systems (CIMES) to operationalize monitoring and Evaluation at the Counties levels (CoG, 2016).

1.3.4. The CIMES

With the promulgation of the constitution of Kenya 2010, new political and administrative structures came in to effect. These included devolved system of government in which County Governments became prominent in assuming substantial role in development efforts, service delivery and responsibilities for financial accountability. This therefore called for institutionalizing of a monitoring and evaluation system at the devolved levels. This system would be key in tracking progress of implementation of County Integrated Development Plans and the use of all other devolved funds at the county (Turkana County Government, 2016).

County Governments however lack adequate capacity to carry out Monitoring and Evaluation (Monitoring and Evaluation Directorate 2012). The monitoring and Evaluation structures at the National Government level are to be replicated at the County level (CoG, 2016). This is in line with the national Government responsibility of capacity building counties (GoK, 2010).

1.4. Problem Statement

The ultimate goal for monitoring and evaluation is to improve management of institutions. The channels through which monitoring and evaluation can do this is by it being incorporated in the project cycles. This is by identifying the desires of people and how to address them in projects. To address these desires, targets and the extent to which these targets must be set is identified. It is the Monitoring and Evaluation that helps define the extent to which these targets must go so as to be enough to meet the desires of people. The accurate extent of stretching of the targets can only be determined through application of scientific approaches including benchmarking (World Bank and IDB, 2010).

According to the two agencies, the environment within which the extent of stretching the targets can be achieved must be right. They note that to understand the environment, evaluation of the existing policies or circumstances must be carried out. This helps to know if the policies are adequate or if new ones (change of circumstances) must be initiated so as to create the right environment.

The progress of achieving the targets is then continuously reported on. For this reporting to be of any use, monitoring and evaluation must relay information to the right decision-making centers. Even then, it is still important to know if the information relayed is helpful in making decisions that help improve people's lives which is the ultimate goal being pursued (World Bank and IDB,2010).

The success of the above process is depended on a credible M&E system that can give facts upon which theories of change for achieving identified goals can be crafted. In our environments however, there are political and other interests that may not find it acceptable that certain pieces of facts get shared and so their production is stifled. This is largely because the use of M&E information means decisionmakers' options are constrained to a few that are evidence based. Stifling facts/information may be in the form of interfering with the setting up of data collection or information processing and sharing centers that are necessary to make data widely available. There is therefore a need to have champions who use or advocate for use of M&E information and strengthen information production and sharing processes. This calls for specific monitoring and evaluation capacities to be available. There is indeed a dearth of skills that can handle monitoring and evaluation, but this are hardly available from harmonized M&E training/systems hence may not effectively and efficiently serve the M&E needs. Because of all these challenges among others, twelve components have been identified as paramount for a strong, credible M&E system (Marelize and Kusek, 2009).

In Kenya, NIMES implementation has faced a myriad of challenges including weak linkages with various other programs, weak M&E capacities, inadequate resources, weak legal framework and a general weak M&E culture. These have resulted to inadequate institutional and managerial capacities, weak reporting structures hence rarely timely analyzed or disseminated data and consequently low use of M&E for decision making (Anderson et al., 2014).

Whereas monitoring and evaluation has been operational in Kenya with a full-fledged department at the national level and ostensibly with the M&E components addressed, its implementation has not been optimal as seen in the many challenges the system faces (Anders et al., 2015).

These varying conditions therefore present a need for information on what works best where. However, in the face of lack of studies addressing the components for the Kenya NIMES, there

is a gap in knowledge on what components are working and what must be specifically strengthened for NIMES to work better. Knowledge on what is working best and what is not is a first consideration necessary for deciding on how to improve NIMES in the face of scarce resources that hamper the maximum strengthening of all the components.

To take note, Anders et al did a rapid assessment of NIMES to establish the status of the National M&E system in 2015, Atika in 2016 studied the National AIDS Control Council M&E system and Obunga in 2017 did an assessment of the M&E system for a program at the Plan Kenya. These have indeed made strides in bettering M&E by attempting to determine the extent to which these systems meet internationally agreed standards of a good M&E system. However, none of these studies give in-depth information on the functionality of the NIMES especially as regards the M&E components therein and how these relate to international standards for a good M&E system.

UNAIDS has indeed identified 12 Monitoring and evaluation components as a standard for a good M&E system. However, these are only standard specifications, it is worth noting that conditions of a particular environment will dictate the specific components best applicable to a country. Thus, there is no one-size fit all type of system specifications that would be optimal for all (World Bank and IDB, 2010). This means Kenya NIMES must know what works best or is working for its optimal functioning

With the problem of lack of knowledge on functionality of Kenya NIMES, it becomes difficult to know how to improve the system. Therefore, the following research questions help get answers necessary to fill the knowledge gap on the functionality level of Kenya NIMES.

1.5.   Research Question

The specific questions the research sort to responds to are:

a). How well are the M&E components functioning at the Kenya NIMES?

b). What are the main reasons why they are functioning as they are?

To address these questions. Relevant and clear objectives were identified to help direct the study on assessment of Kenya NIMES.

1.6.   Research Objectives

The general objective of the study was to assess the functionality of the Kenya NIMES.

The specific objectives were;

1. To assess the extent of the functionality of M&E components of the Kenya NIMES.
2. To identify reasons for the functionality status of M&E components at the Kenya NIMES.

1.7.   Study Justification

In Kenya, Monitoring and evaluation as a management tool though supposed to be effective, has faced many challenges including slow uptake and low funding (Anderson et al., 2014). This has necessitated the need to pursuing of ways that will be effective and efficient in ensuring optimal application of M&E.

Given therefore that this study seeks to provide insights into what M&E components are best working and the gaps necessary to focus on, it not only adds to the knowledge base but also offers a contribution to the development of the country by suggesting what should be done to better the NIMES.

1.8 Scope and Limitations

Due to time and other resource limitations, the study largely employed questionnaires being emailed to respondents. These could have been easily misinterpreted or merely processed by interviewee without much thought especially owing to the number of questions involved due to the need to weight various aspects of components.

Further, the study being of a system involving very few people in its running, there was high possibility that even those selected may not have had much informed opinion on many of the aspects of interest. This may have easily resulted to skewed information. This is more so by fact that the study is largely based on purposefully selected individuals with opinions on NIMES, these opinions may not be strictly objective, thus ending up being misleading.

Whereas the study endeavored to triangulate information to arrive at the most accurate position, triangulation method on key informants may not necessarily give the most accurate position but rather, gives the average position. This may actually be more of a wrong position than right and

vice versa depending on the frequency of opinions closest to the facts and those further from facts.

Further to triangulation, the main approach of expert opinion employed in the study is subject to an extremely large percentage spread of opinions. The spread reflects on uncertainty and thus probability distributions are required as opposed to point estimates which would be easier to measure. Also, expert opinion approach is wrought persistently in biases which require more models to deal with and so more knowledge/ skills (Jacques and Roger,1989).

In addition, in-view of the nonrandom method applied in sample selection, the sample would not meet the assumptions necessary for inferential statistics that would allow for significance testing and the calculation of confidence intervals that would tell about the accuracy of the findings. The study findings therefore can only be considered as possible situation at Kenya's NIMES.

CHAPTER 2:

LITERATURE REVIEW

2.1. Introduction

This chapter covers literature relating to good functioning of Monitoring and evaluation systems based on globally accepted standards. The literature covers assessment of M&E systems and strengthening of the M&E systems based on these standards. The chapter is divided into two sections covering the theoretical literature and the empirical literature respectively. Both sections cover literature from the world, in Africa and in Kenya.

2.2. Theoretical Literature

Monitoring and Evaluation Systems assessment is really an investigative undertaking that seeks to identify weaknesses and strengths of the Monitoring and Evaluation Systems. It is worth noting that there are different tools and frameworks that exist in literature for carrying out such investigation (Atika, 2016). Some of the tools are the monitoring and evaluation systems strengthening tool (Global Fund et al., 2006)., participatory monitoring and evaluation system assessment tool (FHI360, 2013)., and the 12 components monitoring and evaluation system strengthening tool (UNAIDS, 2009a).

Monitoring and evaluation systems being results oriented, are usually designed in such a way as to be able to continuously provide information and feedback at all stages of a policy, programme or project implementation and even after completion as may be needed. The information is valuable for informed decision making even though this may pose threats to those who may view the system as policing or reducing their leeway in decision-making. As such, it is paramount that a system should be build strong enough to withstand this desire for a leeway in decision-making and other challenges. For such a system to be realized, it is important that a system's thinking be applied. Systems thinking is an approach that seeks to understand the components that make up a whole and how the components interact with each other to make a working whole. This thinking therefore requires one to identify the components in an M&E system and how they interact and how each component functions so that the entire system functions (Marelize and Kusek, 2009).

It is generally agreed that for a country to effectively respond to country problems, there is a need to have one coordinating body, one strategic arrangement and one monitoring system.

(three ones). These three ones are however difficult to implement given that there is usually need to pursue the oneness across different sectors or different service areas that are of different structures and challenges. This can however be overcome by having an organizing framework that helps ensure existence of an effective and efficient M&E system in whatever country so as to tie all the three ones together (UNAIDS, 2008).

The UNAIDS further notes that an efficient and effective M&E system is one with functional M&E components. Functional components in this case are those that enables access to data that helps in management of the implementation of responses to problems, helps in assessing of the effectiveness of the responses, helps identify areas of improvement, and helps foster accountability. According to UNAIDS, there are twelve (12) components identified for a comprehensive effective and efficient M&E system. These have been divided into three categories aligned as people partnerships and planning covering the first six components discussed here below, collecting analyzing and verifying of data covering the next five components discussed here below and the last category being one concerned with the use of the information for decision making.

The first component is existence of organizational structures whose written mandate/responsibility is taking leadership in planning, organizing and implementing of M&E roles in the country or organization. This structure entails having adequate staff specifically assigned the roles under M&E as reflected in the organization structure. The second component concerns human capacity for M&E. under this, it is expected that there has to be adequate competencies to enable M&E posts holders to effectively carry out M&E roles and if there are gaps in capacity then there would be a capacity building plan. Further, that the M&E related courses can be offered in colleges/universities to ensure continuous M&E competences. Under this component, a data base of M&E providers or trainers capable of building M&E capacity must be built (UNAIDS, 2008).

As regards the third component which is existence of partnerships. The UNAIDS notes that the component helps in planning and managing the M&E systems. The component envisages existence of technical committees or working groups to manage various M&E issues. These working groups contribute to planning which is the fourth component identified as existence of national and multi-sectoral M&E plan. The plan covers jointly agreed indicators for the national

plan and sectoral plans that are linked to the national M&E plan. Further, the national M&E plan is assed for adequacy i.e. it is monitored for comprehensiveness, effectiveness in enabling realization of objectives and generally its implementation feasibility. Closely related to the fourth component is the costed annual M&E work plan which is regarded as the fifth component. This entails activities for M&E being allocated specific time when they are to be implemented and the estimate cost of each activity. These estimates are included in the official government or entity budget and money availed for the planned activity.

Existence of a communication and advocacy culture for M&E is the sixth component. It anticipates supportive persons within the organization or government going out of their-way to champion M&E issues. In addition, communication of M&E results and events is kept consistent and M&E personnel are part of the organizations management team (UNAIDS, 2008).

The UNAIDS further picks routine monitoring as the seventh component. This entails existence of guidelines on how to record, collect, collate and report data. It includes financial data from various agencies and guidelines on how to assure quality of this data. Auditing of data is consistently done and verified. Feedback and correction mechanisms are also established. Surveys and surveillance form the next component necessary for an effective M&E system. The component entails a need to carry out surveys and surveillance and consequent reporting. It requires existence of a repository for this surveys or surveillance and reports. The surveys and surveillance would be on specific outcomes or indicators of interest. The ninth component is the existence of National and sub national databases which UNAIDS notes that may allow for electronic capturing and storage of data with a wide range of focus. It points out that there has to be adequate human capacity to capture the data and that sub national databases should be integrated with the national database.

The tenth component identified by UNAIDS is existence of supportive supervision and data auditing. This component entails existence of standalone protocols for data auditing timelines and accessibility of the audit reports for feedback and follow up. According to UNAIDS, existence of evaluation and research agenda is the eleventh component. It concerns having a repository for evaluation reports and a committee mandated to approve and coordinate research and evaluations.

Further, dissemination of findings and participation of stakeholders including international ones in joint reviews i.e. peer review is of concern to this component. Resources are also earmarked for research and evaluation under this component. Data dissemination and use is the last component. It specifies guidelines for dissemination of information as feedback to data providers and other stakeholders. The components are not steps to be sequentially achieved but all should eventually be achieved and depending on resource availability and focus for results. The ultimate is the use of the achieved results for decision making (UNAIDS, 2008).

An M&E system could be concise or comprehensive but it is the intensity of focus on results, transparency and responsibility required that would determine the level of commitment to specific components/practices. This is what would earn the system credibility and trust among its stakeholders of interest. An M&E system can be effective depending on the type of societal interactions and culture of a people. In an environment where people freely talk about success and failures and readily receive feedback, there may be less intensity on components that emphasize transparency. On the other hand, a closed up or difficult environment may require to emphasize on components that propagate transparency and accountability. This could call for structured systems to allow coordination of monitoring activities, data synthesis and dissemination of information for use (Khadija et al., 2003).

It is of necessity to note that there are specific standards that apply to all M&E systems that are functional. The standards are not just to ensure uniformity but also quality of data including in terms of its efficiency and effectiveness when put to use (Clara et al., 2008).

The first core standard according to Clara et al, relates to a need to keep the system light by seeking for information that is of need only. This standard affords time to analyze and know whether the logical/hierarchy of results anticipated is being achieved or is achievable given the assumptions made and the appropriateness of the assumptions. In addition, lightness of the system allows for timely information for decision-making. She further notes that the second standard is about collecting credible data. This means systems must be those not subject to biases or manipulation but rather independent enough to be trusted for accurate data.

The third standard is about capacity of staff to correctly analyze data to get correct, useful information and the last core standard concerns the use of the availed information. Therefore, if

all the standards are adhered to but the generated information is not being used then the system is not helpful. Use is heavily reliant on dissemination. The dissemination systems must be those that are able to tailor the information in messages specific to stakeholders intended to make specific decisions (Clara et al., 2008).

The author notes that the other standards applying to specifics include standards for project monitoring where the need for participatory monitoring is encouraged. This means standards are set to allow community participation in M&E where community members interpret M&E data or track the most important issues to the community.

Standards relating to gender issues are set especially on how to respect cultural orientations and standards on M&E in emergencies which encourages use of early warning systems and monitoring of responses for effectiveness, quality and relevance (Clara et al.,2008). These standards therefore are complementary to the components of a functional M&E system and can be a basis for assessing an M&E system.

To strengthen integrated monitoring and evaluation systems, M&E Capacity building efforts should be directed not only to the M&E contact persons at line ministries or county governments but also to other technical departments that are usually the source of project managers or operational managers who avail data for the integrated M&E systems. These should be subjected to clear communication of the vision of where M&E is leading. Further, the relevant graphics on feedback relations, slogans and messages of successful processes would help communicate and impart a culture of M&E better than the pursuing of legal processes (Anders et al., 2015) thus an assessment of where capacity building is directed can help determine the strength of an M&E system.

To therefore check if an M&E system is good enough or to strengthen it taking cognizance of the mentioned standards or components, the mentioned assessment tools come into play. There are various other assessment tools for the M&E system that can be used; these include the 12 components M&E system strengthening tool, M&E system-strengthening tool among others. The M&E system-strengthening tool focuses on the M&E plan and the related systems that help collect quality data. The tool is made of three checklists that aid in comprehensive assessment of programs and projects' M&E systems to confirm their ability to collect high quality and accurate

data, to process and to use it. It is therefore not a standalone tool but rather complemented by others including Performance of Routine Information Systems Management (Prism) Framework Tools, Health Metrics Network (HMN) Assessment Tool, National M&E Road Maps and Building National HIV/AIDS Monitoring and Evaluation Capacity Tool (USAID, 2007).

USAID notes that the three checklists are the M&E plan checklist; This particular checklist considers the programs goals and objectives, indicators, data sources, confidentiality, resource availability, transparency and dissemination processes as well as if there exist other parallel systems for reporting. Next checklist is the data Management Capacities checklist; in particular, it assesses whether there are adequate skills, procedures, resources and experience to help oversight the management of quality data collection.

The last checklist is on data reporting; the checklist concerns the assessment of the ability of the system to accurately report high quality data that is valid. The tool though able to assist in strengthening a single M&E system, is generally used to promote alignment of other M&E efforts to a main M&E system. The tool is meant to help build synergies rather than creation of parallel M&E efforts and is thus subjected to wider stakeholders (USAID, 2007).

Another assessment tool available for assessing M&E systems is the 12 components monitoring and evaluation system-strengthening tool. The tool is a consolidation of various other assessment tools that were being used by individual organizations. It thus replaces the several individual tools and offers a one stop comprehensive tool for assessing the twelve components of an M&E system. The tool confirms existence of a component in an M&E system by checking the existence of the identified specifics for that particular component. It asks Interviewees relevant to specific components to only pronounce themselves on the existence of those specific components (UNAIDS, 2009).

The designing of the tool is such that it uses a series of questions whose responses are "yes-completely, mostly, partly, none at all or not applicable". These responses reflect a response being in the affirmative by 100%, above 75%, less than 50% and 0% respectively. All answers for less than 100% in the affirmative must have additional notes as to why that response position is taken. The identified weaknesses and strengths are then summarized and discussed at the end of a workshop. Prioritizing areas of strengthening is then done based on human resources and

capacity, partnerships and collaborative networks then considerations for data collection that is useful to decision making (UNAIDS, 2009).

The use of persons most competent about an issue to get information on the issue (Delphi/expert opinion) is an approach that can be used as a reflexive process on experimental or research findings before initiating the consequent proposed changes. The approach entails analysis of a particular problem from a qualitative and quantitative assessment of individual experts' opinions. Several experts are involved because the accumulation of experience and competency that makes an expert opinion is hardly ever in one person. Several persons are therefore engaged to ensure confidence in the approbated decision that capture knowledge and experiences from several. The unanimity of opinion by the experts would be the best validity and reliability for adapting decisions (Sandra and Katane,2018).

2.2. Methods for assessing M and E systems

In the assessment of the Kenya National Aids Control Counsel (NACC) M&E system, Atika employed the 12 components monitoring and evaluation systems strengthening tool method. In the assessment, the process entailed use of a descriptive case study approach and mixed data collection methods such as self- administered questionnaire checklists and guide questions for key informants (Atika, 2016). Descriptive case studies usually involve review of real-life situation of an object of interest to reveal information about the object (Yin, 2003).

In the case of the assessment of the NACC M&E system, the objective was to know if the system was at par with the agreed international standards regarding existence of structures that address management of people, existence of interactive partnerships and planning, existence of data management review processes and existence of procedures towards the use of data for decision making. The assessment found that the NACC M&E system was operational though with some weaknesses that included having most personnel being with insufficient M&E skills, low use of M&E documented guidelines for M&E work, inadequate information technology equipment and unlinked databases that result to duplication of effort. On the other hand, there were clear structures and roles for personnel, standardized tools among partners and existence of M&E databases even at the subsystem level (Atika, 2016).

Nigeria's National Agency for the Control of AIDS (NACA) used the UNAIDS organizing framework in the assessment of a national HIV M&E systemin Nigeria's National Response

Management In- formation System (NNRIMS). The organizing framework applies the 12 Components monitoring and Evaluation System Strengthen Tool to assess M&E systems. The assessment sort to establish strengths and weaknesses in the NNRIMS. Participatory approaches were employed to collect both qualitative and quantitative data. This was largely to foster ownership of the assessment. The study found that though there is an operational system at the national level, the other levels are far weaker and with several tools for data collection and reporting that link vertically. This cause heavy reporting load to lower levels. Data use was similarly more at the national level than the other levels (Ogungbemi, et al., 2012).

In the assessment of Côte d'Ivoire HIV monitoring and Evaluation System, a technical team from MEASURE Evaluation used the UNAIDS organizing framework in a mixed method retrospective case study approach that included measurement of identified outcomes, use of key informants, document review and participatory self-assessment in collection of data. The study aimed at determining existence of significant changes because of efforts made in improving the M&E system from 2007 to 2012. The team focused on the middle ring of the 12 components of the M&E system as identified by UNAIDS to find evidence of the changes because of the efforts. The middle ring focuses on the use of M&E information. The study therefore looked at changes in use of information as evidence of effects from various efforts in strengthening the system. The study found that there was substantial progress realized in strengthening the Côte d'Ivoire HIV monitoring and Evaluation System and that there are more opportunities to further strengthen the system (MEASURE Evaluation,2014).

In 2013 the Independent Evaluation Group (IEG) used various methods including desk reviews of policies and procedures, analysis of a sample of project-level M&E data, analysis of various internal databases, review of internal memos and strategic documents, surveys and interviews of staff to assess the Monitoring and Evaluation system for International Finance Corporation (IFC) and the Multilateral Investment Guarantee Agency (MIGA). The assessment focused on the relevance and timeliness of various policies, quality of information from various data bases, quality of information from advisory groups among others, efficiency, use and influence of M&E information. It was found that the IFC and MIGA M&E systems are well able to inform decision-making in the organizations though the systems have gaps in tracking some indicators

where estimates are used. It was also found among others that gathering of various baseline data is weak and needs tremendous improvements (IEG World bank, 2013).

An older approach to assessing systems and programs is the Delphi method, which use expert opinion. Expert opinions have been used in various disciplines including public health, engineering, program management, finance and regulatory policy (Ouchi and Fumika, 2004). The Delphi method (expert opinion) aims at finding different views on an issue of interest in a particular area. It enables doing of forecasts when information necessary about the object is not easily accessible. Delphi method helps to make forecasts even when object of interest is new and there are no similar objects. It can allow evaluation of surveys and their being adjusted on a large scale, it helps confirm and revise various data obtained by means of other methods and it helps analyze results when there is possibility to have different interpretations (Dalkey, 1972; Bogner et al., 2009).

In the work started by Robert Lapham and Parker Mauldin in 1972 on family planning and which has been done for several years has been largely based on expert opinions. The method entailed a full questionnaire that is completed by experts in specific countries. The questionnaires have one hundred and twenty items (120) which are then coded to produce 30 scores under four components. About 10-15 experts are identified to fill the questionnaires for each country. The result from this approach closely mirrored result from when many people were involved to fill the questionnaires (USAID 2010). This approach reinforces the applicability of the method used in calculating organizational capacity index, of the Reproductive Maternal Health Services Unit (RMHSU) done by MEASURE Evaluation PIMA in 2017.

2.3. Summary of Literature Review

The study being an investigation on the functioning of the M&E systems, from the theoretical literature, it was revealed that there are more than eleven different tools and frameworks that can be used to investigate the functioning of an M&E system or strengthening it. The main tools and frameworks include the M&E system-strengthening tool and the12 components monitoring and evaluation system-strengthening tool. The former tool focuses on the M&E plans and the related necessities that ensure quality data collection. It is made up of three checklists all aimed at ensuring quality data. The latter tool, which is the 12 components monitoring and evaluation system-strengthening tool requires response to specific questions regarding each component. The

respondent should only respond to what they are well informed about with the responses being either "yes-completely, mostly, partly, none at all or not applicable.

It was further revealed that some of the tools have been applied to assess M&E systems. In his assessment of the National AIDS Control Counsel M&E system, Atika (2016) employed the 12 components monitoring and evaluation system-strengthening tool. The same tool was also employed by Ogungbemi, et al., (2012) to assess the Nigeria's National Agency for the Control of AIDS and similarly MEASURE Evaluation (2014) used it to assess the Côte d'Ivoire HIV monitoring and Evaluation System.

The Independent Evaluation Group (IEG) used various approaches including desk reviews, analysis of a sample of project-level M&E data, surveys and interviews of staff among others to assess the Monitoring and Evaluation system for International Finance Corporation (IFC).

It is revealed that though there are many frameworks, tools or approaches used to assess M&E systems, most of the approaches are piece meal and would not generally asses all aspects. The 12 components monitoring and evaluation system strengthening tool was however found to bring together most of the approaches and thus present a comprehensive way to assess the M&E systems (UNAIDS, 2010).

In considering expert opinion, there is cognizance of the fact that randomized control trial has been viewed as a gold standard for research work. However, given that even the randomized control trial has weaknesses, the stringent application of Delphi Panel methodology allows evaluation of expert opinions in a scientific manner and remove biases and in-accuracies. Expert opinion is also recognized as a valuable component in the armamentarium that helps determine answers to clinical questions (Hohmann. E. et al 2018). Indeed, expert opinion is considered to be among the best placed in the collection, analyzing and evaluation of information in education science, social sciences and psychology (Bogner et al., 2009; Lewthwaite and Nind, 2016; Muskat, et al., 2012). This mostly when information is rare or few people may be familiar with the process or system.

2.4. Conceptual Framework

Based on the comprehensiveness of the 12 components monitoring and evaluation system-strengthening tool, this study employed it in its assessment of the Kenya NIMES. The choice of

the tool is further strengthened because of it's combining of aspects of various other tools previously used in assessing M&E systems. This makes it to overcome most challenges other tools had. It is thus a "one stop shop" for assessing M&E systems (UNAIDS 2009). The tool is lent credibility by fact of the many assessments in which it has been employed. It has been employed by among others, the UNAIDS and its partners as it allows for assessing of components to see the interlocking and interdependence of all parts of the system so as to confirm good functionality of the whole M&E system (UNAIDS, 2008; World Bank, 2009).

UNAIDS notes that there are three main components of an M&E system, divided into outer ring, middle ring and inner ring. The components are on the general, people, partnership and planning covering the outer ring; collecting, verifying and analyzing data covering the middle ring and using data for decision making being the inner ring (UNAIDS, 2008). The components are divided further under each category. Figure 2.1 shows the details of each ring.
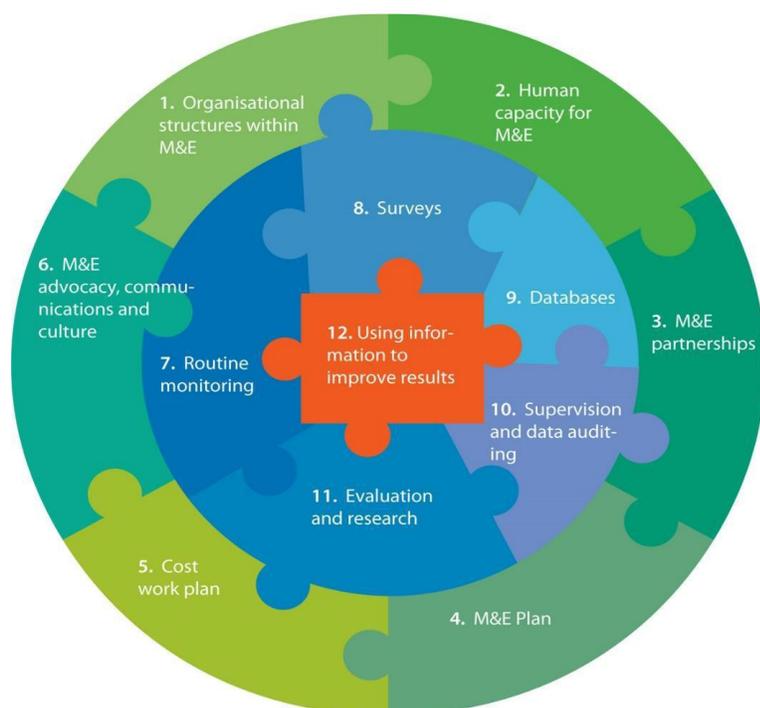
Figure 2. 1: Organizing Framework for the 12 Components of a Functional M&E System

Source: *MarelizeGörgens and Jody ZallKusek, 2009*

From the Figure 2.1, some components are grouped together to form a subset, this is because these components link more strongly with each other than with those in the next ring.

The functionality of an M&E system is based on the operationalization of each of these components.

2.5. Operational Framework

The operationalization of the 12 Components monitoring and Evaluation System Strengthening Tool entailed focusing on specific most important elements of each of the 12 components as applied by the UNAIDS (2010). The elements are summarized in Table 2.1

Table2. 1: Operational Framework of the *12-component* approach to assess M&E system

Sn	Component	Elements/Issues of Focus
1	Organizational Structures with M&E Functions	• Filled M&E posts • Qualified person for M&E data Management • *written mandate to execute M&E functions* • *defined M&E job descriptions* • *fulfilling of M&E mandate*
	Human Capacity for M&E	• Assessed M&E skills and competencies • M&E Skills' gaps incorporated in organizations capacity building plan • *M&E training curriculum* • M&E capacity *built through colleges, universities and/or technical schools* • *Database of M&E trainers and other technical service providers.*
3.	Partnerships to Plan, Coordinate and Manage the M&E System	• National M&E technical working group (TWG)/committee • Regularity of M&E TWG/committee meeting • Wide participation in TWG/committee meetings • Clear TOR for the National M&E TWG/Committee • Effective M&E TWG/ committee
4	National, Multi-sectoral M&E Plan	• Existence of a national, multi-sectoral M&E plan • Participation in development of national, multi-sectoral M&E plan • Assessment of National indicators. • Entity specific M&E plans • Linkage of M&E plans
5.	Annual, Costed, National M&E Work Plan.	• Implementation of M&E plan activities.

		• costs of the M&E work plan in the official government budget • Resources for agency specific M&E work plan requirements • M&E work plan considers previous year's activities • Participation in development of costed M&E work plan.
6	Communication, Advocacy and Culture for M&E	• strong advocacy and support M&E within the agencies • Request for M&E related information • M&E personnel in organizations' management • M&E system performance communicated. • M&E policy and strategies in the national planning policies and strategies.
7	Routine Programme Monitoring	• Provide instructions on how M&E data quality should be maintained. • Use of same operational definitions for M&E • Assuring of data quality prior to submission to the next level. • Verification of completeness of reports. • Contribution of lower level outputs to higher-level indicators.
8.	Surveys and Surveillance	• Inventory of all surveys/evaluations and surveillance. • Surveys and surveillance contribute to measuring indicators • Surveys or surveillance on specific indicators conducted every 2-3 years. • Secondary analysis of existing evaluation/surveillance conducted every 2-3 years • Capacity assessment conducted every 2-3 years
9	National and Sub-national M&E Databases	• Database/s for capturing and storing M&E data are functional. • Integrated database for capturing and storing M&E data from a wide range of systems. • Guidelines for transmitting, M&E data between databases. • Quality control mechanisms for accurate data capture. • Resources for maintaining and updating databases.
10.	Supportive Supervision and Data Auditing	• Guidelines and tools for supportive supervision on M&E • Supportive supervision conducted as per the

		national protocols.
		- Access to supervision and data auditing results, and follow up on recommendation. - Protocol for **auditing** data - Data auditing as per the periods in the data auditing protocol.
11	Evaluation and Research Agenda	- An updated Evaluation and research inventory (register/database) - Approval of new research/Evaluation. - Stakeholder participation in prioritization of research/Evaluation agenda. - Coordinating and approving research and evaluations meets as scheduled. - National and International Evaluation partners participate in joint peer reviews
12.	Data Dissemination and Use	- Assessing of Stakeholder information needs. - Information products meet stakeholders' M&E information needs. - Feedback and extensive sharing of information products. - Guidelines on development, analysis and presentation of M&E data. - Availability of data/information products in the public domain

Source: Adapted from UNAIDS 2009.

From Table 2.1each component has specific issues that one needs to focus on. UNAIDS 2010 in its presentation of the assessment tool for the 12 components identifies key questions, which the facilitator can employ when using the tool. The questions explore on the elements/issues mentioned in Table2.1. The questions used in the research are at annex 2

CHAPTER 3:

METHODOLOGY

3.1. Introduction

This chapter presents the tool and approach in the assessment of NIMES, which is the Kenya National Integrated Monitoring, and Evaluation System. As indicated from the literature review section, several methods can be employed to assess M&E systems. UNAIDS' 12 Components monitoring and Evaluation System Strengthening Tool is one such method. The method is a combination of several other methods previously used in M&E system assessments.

The study adopted the "12 Components monitoring and Evaluation System Strengthening Tool," otherwise also referred to as Organizing framework (MEASURE Evaluation, 2014) to assess Kenya's NIMES. To apply this tool, the study used the Delphi approach or sometimes called the expert opinion approach to elicit information from experts (key informants) about status and functionality of the NIMES M&E components.

3.2 Delphi (Expert Opinion) Method

Expert opinion approach is an approach used when information being sort is held by only a few experts though still, the course could greatly gain from the individual expert's subjective judgments. This most occurs when the subject of interest (specific information) is in-accessible to many or simply that there is incomplete information. Several researchers have proposed a small number of experts of approximately ten (10) experts to be sufficient to provide necessary data (Irdayanti et al., 2015).

Given that the workings of NIMES are not so widely known, experts with information on NIMES were identified and some selected for interview. The assessment employed purposive sampling method to select interviewees that were most likely accessible and willing to participate in the assessment and more likely to have experience on the system. In view of the need to capture the diverse points of view from the interviewees, the study specifically employed the Maximum Variation Sampling strategy to select potential individuals.

3.3. Sampling

Purposive sampling is an approach that allows the researcher to pick interviewees on a non-random basis by considering specific qualities like their availability, willingness to be interviewed, experience or knowledge on the subject as may be held by the target interviewees. It places emphasis on achieving depth by obtaining comprehensive data on the subject of interest as opposed to achieving breath, which aims to a sample being representative of the population. Thus, the method is effective even when the sample size is very small given that it pursues data saturation and not statistical power. A researcher can therefore pick any number of participants irrespective of population size. Further, Maximum Variation Sampling as a technique in purposive sampling allows for selecting samples from a broad spectrum. This allows reflection on a topic from different angles (Etikan et al., 2016).

Based on this sample selection method, the study identified individuals from relevant institutions interviewed them as per Table 3.1.

Table3. 1:List of Institutions for Key informants (expert opinion respondents)

Sn	Institution	Number of Key Informants
1	World Bank	1
2	State department for Planning	1
3	State department for Energy	1
4	State departments for devolution	1
5	Mombasa County	1
6	Kakamega County	1
7	UNFPA	2
8	UNDP	1
9	Monitoring and Evaluation Department (NIMES)	2
	Total	**11**

Source: Kenya NIMES Assessment.

To ameliorate the effects of biasness associated with purposive sampling, the study employed triangulation of data.

3.4. Triangulation

Triangulation is an important approach in M&E for reviewing and corroborating of findings in research, surveys or assessments as it helps increase credibility of findings. It is simply a mixed method approach that will not invalidate other interviewees' opinions but rather will allow a deeper understanding of a subject of interest by considering all presented opinions (virginia Wilson 2014). The same question was therefore be put to several people to give opinion on it. Triangulation was pursued further through desk research.

3.5. Data Collection

Using questionnaires, the researcher collected views from various experts on existence and workings of the NIMES. The questions were based on the 12 components of an M&E system as proposed by the UNAIDS criteria. Data collection was only focused on persons thought to have much informed opinion on the workings, structures and components at Kenya's NIMES. This approach of only focusing on informed persons is the expert opinion approach (Irdayanti et al., 2015).

The study considered the following earlier mentioned institutions to be having individuals with the sort after information; National Treasury, The State departments for Planning: Energy, Infrastructure, Devolution, Council of Governors, Counties of Mombasa and Kakamega, Population Studies Research Institute, Evaluation Society of Kenya, the Monitoring and Evaluation Department that houses the NIMES and from the United Nations agencies that support Government of Kenya on governance especially in establishing functional M&E systems in the state departments. These include the United Nations Fund for Population Activities, United Nations Development Programme and the United Nations International Children's Emergency Fund.

3.5.1 Data collection Tool

The 12 Components monitoring and Evaluation System Strengthening Tool entails use of a series of questions to interviewees regarding the elements of each component. The responses to the questions are restricted to "yes/completely, mostly, partly, none at all or not applicable. These responses reflect a response being in the affirmative by 100%, above 75%, less than 50% and 0% respectively. For purposes of identifying gaps in the components at the NIMES, all answers of less than 100% in the affirmative shall be required to have additional notes expounding on why that answer was given (UNAIDS 2009).

3.6. Desk Review

This is a data collection method that pursues to collect data or information in already written documents e.g. books, journals, magazines, reports, records among others. The information may have been in most cases provided for reasons different from the current study purposes and may therefore be inadequate or unsuitable in addressing the main problem of a current researcher (C.R Kothari 2004).

In this study, the documents of interest for the desk research included the NIMES master plan, the monitoring and Evaluation Framework; the M&E needs assessment reports, the various Annual Progress Reports of the Medium-Term Plans of the Kenya Vision 2030 economic development blue print and the budget documents.

3.7. Data Analysis

Based on the collected data, quantitative analysis was done to determine the M&E components' functionality indices and the NIMES functionality index. These helped to respond to the study's objectives of identifying the effectiveness level of the components and of the NIMES in meeting own objectives. The indices and the index show the level of strength for the components and the entire NIMES respectively. Computation of the component's functionality indices and the NIMES index borrowed heavily from an approach employed by MEASURE Evaluation PIMA project 2017 end line assessment of the M&E capacity of the Ministry of Health in Kenya.

In calculating the organizational capacity index, of the Reproductive Maternal Health Services Unit (RMHSU), first a summation of maximum possible scores of the 12 M&E components for the RMHSU was done. This was then divided into the actual total score of the M&E components at RMHSU to arrive at an index (MEASURE Evaluation PIMA 2017).

The approach was therefore repeated for specific components and then for the entire NIMES to get the individual component indices and the NIMES index.

Qualitative analysis was employed to determine the gaps in the NIMES as a way to responding to the study objective of documenting gaps at NIMES Kenya. These entailed clustering responses to specific questions so as to determine the dominant opinion on the issue as envisaged in the 12 Components monitoring and Evaluation System Strengthening Tool by UNAIDS 2009. Based on a criterion offered by the UNAIDS 2009, the responses to questions on functionality of aspects of the components was scored as "yes-completely= 100% functionality, mostly =75%

and above functionality, partly =50 and below functionality and none at all or not applicable = 0% functionality. According to this criterion however, the category of above 50% up to 74% functionality is not defined. This, study therefore considered scores in this range to be in a fair functionality category.

Questions of main interest posed to key informants on aspects of the M&E components at the Kenya NIMES are attached at annex 2 to help offer clarity on the graphs used in the result description. Additional notes from the key informants and desk research was incorporated to offer clarity as may be necessary. Through descriptive analysis, the findings from key informants and other relevant information were then summarized and documented for use by other information seekers for decision-making or further research.

CHAPTER 4

STATUS OF THE KENYA NIMES

4.1. Introduction

This chapter presents the findings of the study. The findings give status of the functionality of the Kenya NIMES and the functionality of individual components. The components are also ranked based on interpretation of opinions relayed by key informants.

4.2. Status of the Kenya NIMES

Based on data collected on the opinions of various key informants on NIMES, a summary of the findings is presented in Table 4.1

Table 4. 1:Component scores obtained from expert opinion on M& E strengthening tool

Serial number	Name	Component number	Overall score for each component	Rank
1	National and multi- sectoral M&E plans	4	68.32	1
2	organizational Structures with M&E functions	1	67.91	2
3	Communication, Advocacy and Culture for M&E	6	66.23	3
4	Human capacity for M&E	2	63.18	4
5	Routine program monitoring	7	63.18	4
6	Partnerships to plan, coordinate and manage the M&E system	3	62.73	6
7	National and Sub-national data bases	9	62.73	6
8	Annual, costed National M&E work plan	5	61.2	8
9	Data dissemination and use	12	60.55	9
10	Evaluation and research agenda	11	51.82	10
11	Surveys and surveillance	8	48.96	11
12	Supportive supervision and Data auditing	10	40.82	12

Source: Kenya NIMES Assessment.

From table 4.1, a combination of all the individual component scores gives an average score of 59.8 which is the NIMES functionality index is realized. Thus, with an overall index of 59.8, the Kenya NIMES was found to have an above 50 index mark for which a component would then be considered to be fairly functioning. Thus, as per the expert's opinion results, the Kenya NIMES is only fairly functioning. Each component score was a mix of opinions whose average was used to rank the components in terms of their functionality level.

Some specific details of the responses on aspects of the components were discussed in the analysis of each component. Graphs depicting overall responses on each component were included. The overall responses are really average score by each respondent given on the basis of questions/statements posed to them. These questions/responses are attached as annex2

4.2.1. Organizational Structures with M&E functions (Component1)

As regards Organizational Structures with M&E functions, on the overall, the key informants thought it to be the second most functioning component though only fairly at an index of 67.91. This verdict is arrived at on the basis that key informants felt that most institutions which have M&E as a recognized management tool at their disposal have at least a person with clear responsibility to carry out the M&E. This is revealed on a closer look at the responses within the component.

A general agreement on level of functionality based on scores given to each question is that there are some M&E structures and responsibilities for M&E officers. However, there was an outlier opinion that ended up affecting the average opinion for the entire component. It is actually the average opinion that was considered by the researcher as the agreed level of functionality of the component. The outlier opinion was that there were no clearly defined M&E job descriptions within entities that supplied M&E data to NIMES. This outlier opinion was largely supported in follow up discussions where   it was noted that most institutions would not have clear structures under M&E or clear and separate roles from the rest of the other normal organizational functions. This was mentioned and seen in literature as a case in Government where there are no clear and separate M&E responsibilities apart from other professionals and structures. It was noted that some government agencies had adopted clear structures and functions for M&E, but this was generally apart from the norm where in most Ministries the M&E functions are simply part of the

responsibilities of economists etc. Figure4.1 presents average scorings by interviewees on questions posed to them under component 1
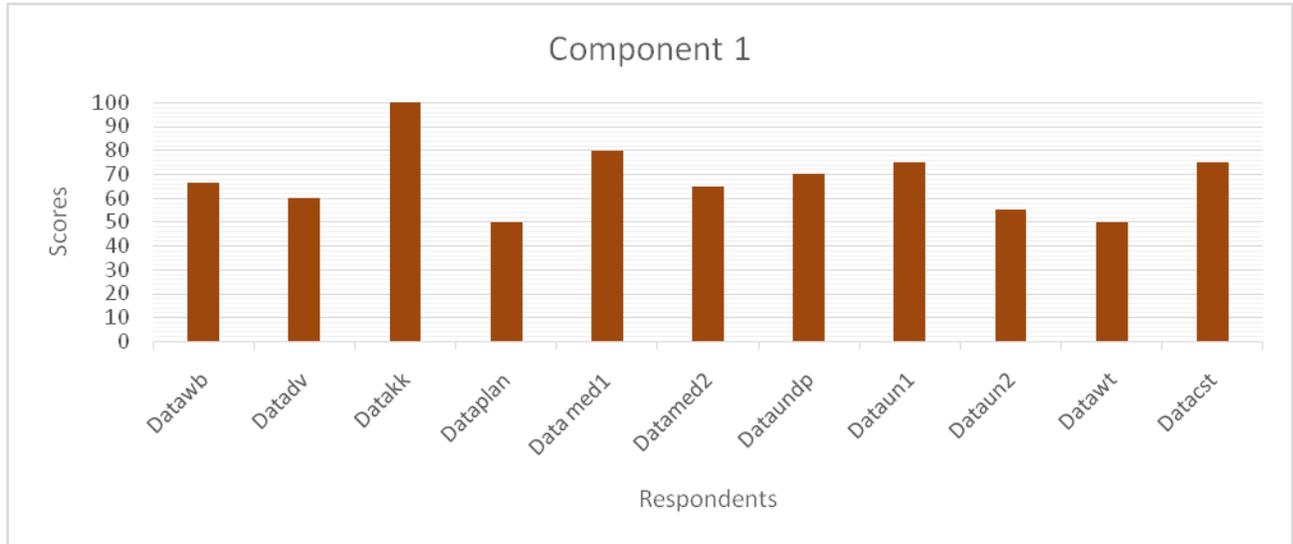
**Figure 4. 1: Organizational Structures with M&E functions (Component1)**

Source: Kenya NIMES Assessment

The average score on these questions by each respondent is what gives the respondents overall score on the level of functionality of the component. The individual scores therefore pull down the average score or push it up for the entire component to being that the component is only fairly functioning as seen in figure 4.1

4.2.2. Human capacity for M&E (Component 2)

Existence of Human capacity for M&E was mentioned as the fourth most functioning M&E component at NIMES. It was rated as fairly functioning with an index of 63.18. A deeper look at the opinions on it shows that though M&E skills are being built through colleges, there has not been much assessment of the gaps in the skills. In addition, they generally observed that there is no database of skilled M&E personnel from which competent persons can be drawn. On the positive side, the key informants generally noted the existence of a national M&E curriculum though follow up only pointed to the universities offering the course. Is important to note however that universities each prepare own curriculum and these if with any similarities, is

because of similarity of M&E field and not of conformity to a national curriculum. The key informants' assertions may therefore be queued from the fact that universities offering the course at graduate level all started at about the same period. Indeed, the course has been offered at graduate level only from the past five years. This could explain there being no database established but with increase in the skill, possibly it will be established. Figure 4.2 presents average response scores given on statements posed relating to requirements for the component on human capacity to be considered functional.
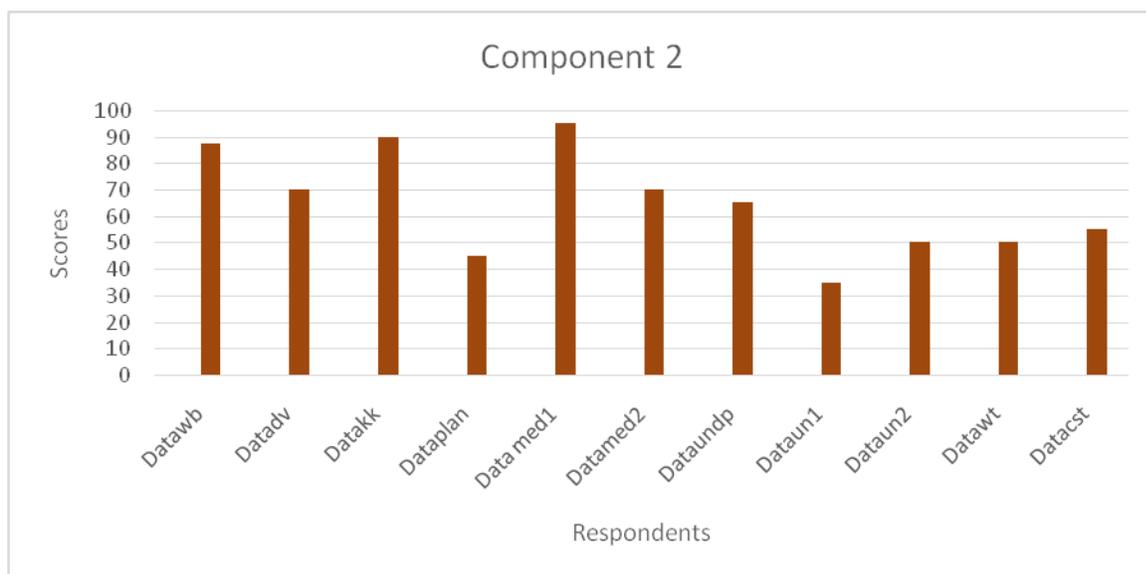
figure 4. 2: Human capacity for M&E (Component 2)

Source: Kenya NIMES Assessment

From the Figure 4.2 we can see based on the scores by respondents that whereas some informants considered the component to be pretty well functioning, some felt it was only partly functioning.

4.2.3. Partnerships to plan, coordinate and manage the M&E system (Component 3)

The component on Partnerships to plan, coordinate and manage the M&E system was sixth best working component for the NIMES with a score of 62.73. This is still a working component as per the key informants' verdict. Details on the component at NIMES is that there exist partnerships grouped around five focus areas. Each focus area attracts partners that are player in the area e.g. Communication, Capacity building, Research and Results, Project Monitoring and Evaluation and finally Quantitative and Qualitative indicator development and storage. These

focus areas have technical advisory groups that are formed by collaborating organizations. It was however noted that the technical groups had been dormant for a while and their mandate of approving documents put to doubt and similarly there playing any influential role in NIMES. Figure4.3 shows how the responses from key informants appeared.

Whereas the figure shows average scores by respondents on each question on the aspects of the component, actually, there were two outlier responses that noted some aspects of the component to be non-existent. However, there were responses that also considered several aspects as completely working.
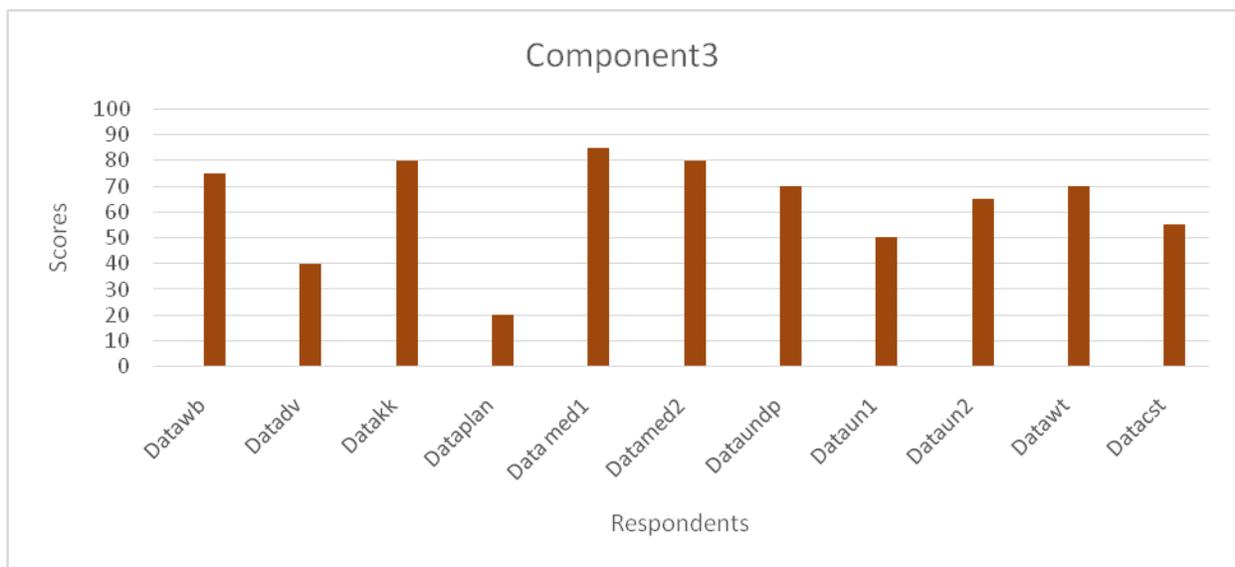
figure 4. 3: Partnerships to plan, coordinate and manage the M&E system (Component 3)

Source: Kenya NIMES Assessment

From the figure 4.3, we can see that respondent two and four were of the opinion that the component was only partly functioning, this contradicts with opinions from respondents three, five and six who felt the component was mostly functioning. The general final verdict from key informants however was that the component is fairly functioning based on the average. This resonates true considering the extra details obtained from literature and discussions in relation to the component.

4.2.4. National and multi- sectoral M&E plans (component 4)

This component was ranked as the best functioning component even though this was that it was considered only more than partly functioning rather than completely functioning or even mostly functioning. Thus, it was only considered to be fairly functioning with a score of 68.32. A closer interrogation on the system by looking at various documents and further discussions revealed existence of National M&E indicators and sectoral indicators in a national indicator hand book.

The national indicators are drawn and agreed upon from and by the sectors. Sub-Sectors also have indicators that they track. In the ideal case, these indicators are what should be incorporated in the detailed M&E plans that clearly show who will collect data, when, where, how it will be interpreted, stored and so on. Thus, whereas the initial major ingredients of the M&E plan (indicators) exist, a follow-up reveals a failure of culminating to clear complete M&E plans. This is what seems to lead the key informants to the feeling that the component is operational. Detail analysis of the responses to the questions regarding the component was done. It revealed that most key informants felt most areas regarding the existence of the M&E work plans were well in place. This is so albeit with some feeling some of the areas only partly exist with one noting one of the aspects as completely not functioning.
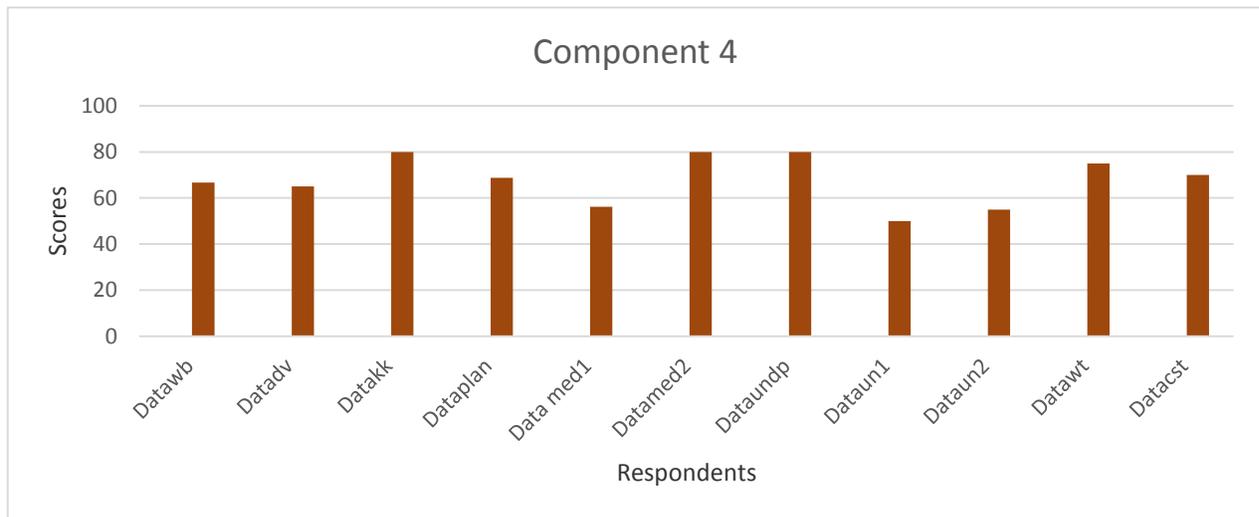

figure 4. 4: National and multi- sectoral M&E plans (component 4)

Source: Kenya NIMES Assessment.

Figure 4.4 presents the average scoring on the component by various experts.

4.3.5. Annual, costed National M&E work plan (Component 5)

Component five (5) which is Annual Costed National M&E work plan was found to be the fifth worst performing M&E component at NIMES. The component was considered fairly operational with a score of 61.2. The score level was influenced by informants' average responses to statements posed to them. The average scoring is as show in Figure4.5.
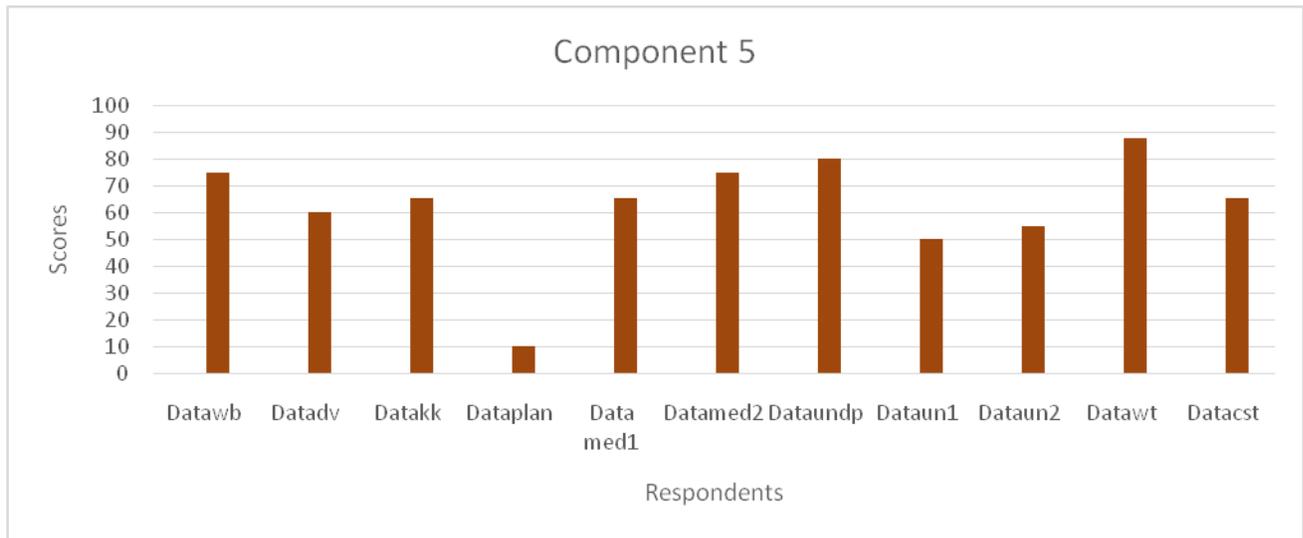
figure 4. 5: Annual, costed National M&E work plan (Component 5)

Source: Kenya NIMES Assessment

From figure4.5, we can see that whereas most respondents felt the component was fairly to mostly functioning, one respondent felt the component was only partly in existence. A follow-up on the responses from various documents revealed that indeed the M&E department that hosts NIMES does budgeting for its activities. It was noted that this fact might not be clear to most key informants thus influencing their lower opinions on the component. Documents further revealed lack of a comprehensive M&E plan within the department thus confirming other informants' fear that there may hardly be a costed annual M&E work plan but rather a mere list of activities to be funded.

4.3.6. Communication, Advocacy and Culture for M&E (Component 6)

The third most functioning component was thought to be one on Communication, Advocacy and Culture for M&E. The component had an index of 66.23 as seen in Table 4.1. This is a score indicating a fair functionality component. Advocacy for M&E was said to be good given that most respondent noted that there fully exist people who advocate for M&E. This may be reflected from the general knowledge that there is strong interest in M&E by most funding agencies.

On the other hand, however, the culture of M&E which could be deduced from the frequency of request for M&E information by decision makers, the inclusion of M&E personnel in organizations' management and communicating of M&E performance by M&E practitioners was said to non-existent by some respondents. These two positions where some think something fully exists and the other that another thing is completely non-existence is what gives us an index to reflect a functioning component. Figure 4. 6 presents average responses to questions/statements posed regarding component 6.
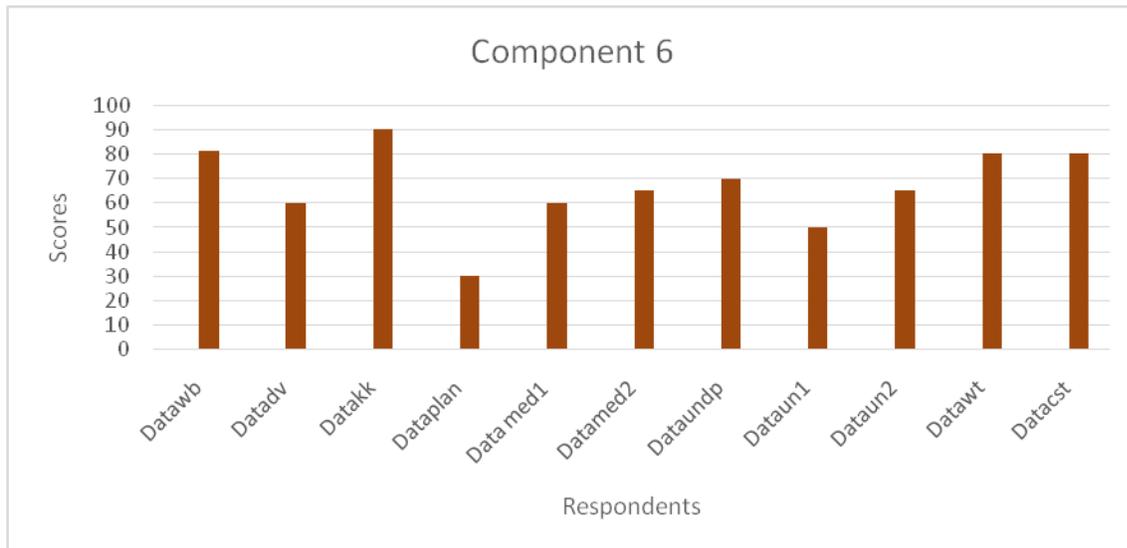
figure 4. 6; Communication, Advocacy and Culture for M&E (Component 6)

Source: Kenya NIMES Assessment.

From figure 4.6, we can see that respondents 4(data plan) felt the component was only partly functioning. This position contradicts one held by respondent three (datakk) who felt the component is mostly functioning.

Further discussions and review of documents revealed that there is mild follow-up on the use of resources and implementation of projects by the populace. There is however high acceptance of M&E as a valuable management tool incorporated in many documents. It was also revealed that relaying of results on M&E is not much documented. This further revelation therefore affords credibility to the key informants' average opinions as regards the component, that the component is fairly functioning.

4.2.7. Routine program monitoring (Component 7)

Routine program monitoring had a score of 63.18 thus similarly being number four in the ranking of functionality as was component 2. Most key informants confirmed existence of program monitoring on the basis that there are mostly similar definitions used for indicators, that mostly there are guidelines on how data quality could be maintained in various agencies, there is verification/ quality control done on data before it is submitted to the next level and that monitoring of lower results feeds into the higher results. This was however contradicted by a responded who noted that other than there being a little use of similar operational definitions for indicators all other areas of the component were none functional. This outlier opinion pulled down the overall score on the component making it to be only fairly functional as opposed to being mostly or completely functional.

A follow up on some of the opinions point to a general view that indeed groups pretty much do monitoring visits albeit in an ad-hoc manner. It is also noted that indeed reports are made on achievement of targets on a progressive manner. This position therefore seems to confirm the initial position by most informants that there is indeed programm monitoring. The outlier opinion may sound gross but it seems to bring the entire component to a true position given that it was noted that many of the M&E visits are carried out largely as mere supervisions or mere site seeing with no clear plan on where the data is to go next. These visits were therefore thought to be inadequate in redirecting implementation of projects though useful to some extend if they are not extravagant. The Figure4.7 presents the pattern of responses received from key informants regarding the component
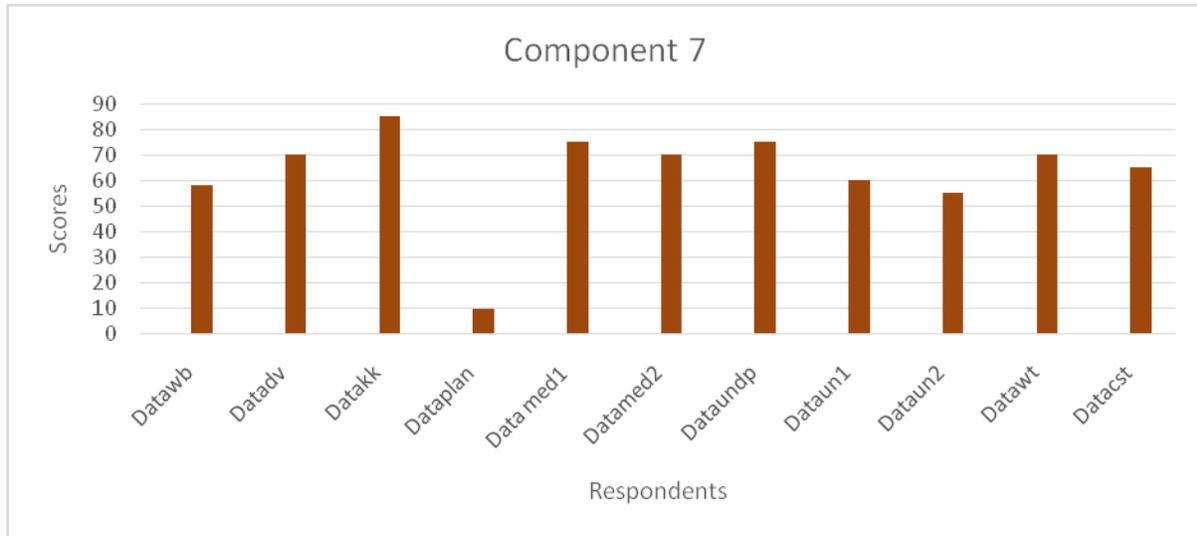
Figure 4. 7: Routine program monitoring (Component 7)

Source: Kenya NIMES Assessment.

From the Figure 4.7, we can see that most informants felt the component was at least fairly to mostly functioning. Only respondent four (dataplan) felt the component was only partly functioning.

4.2.8. Surveys and surveillance (component 8)

The Surveys and surveillance component was the second worst functioning component at NIMES. The component having scored an average of 48.96 points, was considered to be barely (partly) in existence. Figure4.8shows average scores given by experts on the component's functionality. This was derived from individual scores to statements posed to the experts.
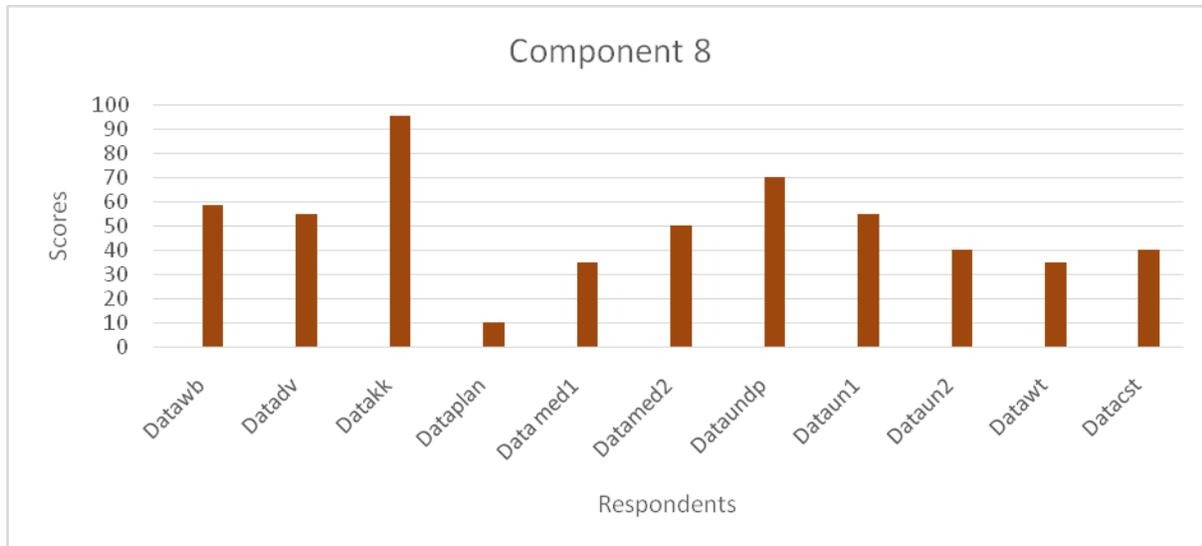
Figure 4. 8: Surveys and surveillance (component 8)

Source: Kenya NIMES Assessment.

From the Figure 4.8, we see that some respondents felt the component was fairly functioning, some felt it was partly functioning and one thought it was mostly functioning. Analysis of the responses revealed that some experts thought there was no inventory on surveys and evaluation where the public could access the reports, that the surveys conducted have not contributed to national indicators, that there has been no surveillance of specific indicators for the past three year and that there has been no capacity assessment of M&E skills in agencies where NIMES data is drawn from nor have the previous reports been analysed. It was however noted that some indicators especially in health and education have been reported on continually thus offering a semblance of surveillance on them.

This notwithstanding, informants generally felt there had not been enough effort in operationalizing this component. This was corroborated by further revelation that though there exists a research and result focus area at the NIMES, most of the work done is standard Public expenditure reporting, and vision 2030 progress reporting based on submitted sector expenditure reports and indicator information. It was further revealed in discussions that there was no inventory from which one could draw past surveys or planned surveys.

4.2.9. Existence of National and Sub-national data bases (Component 9)

With a score of 62.73, the component was similarly ranked at position six like component 3 in the best performing components of NIMES list. Figure 4.9 presents average responses from key informants on the component.
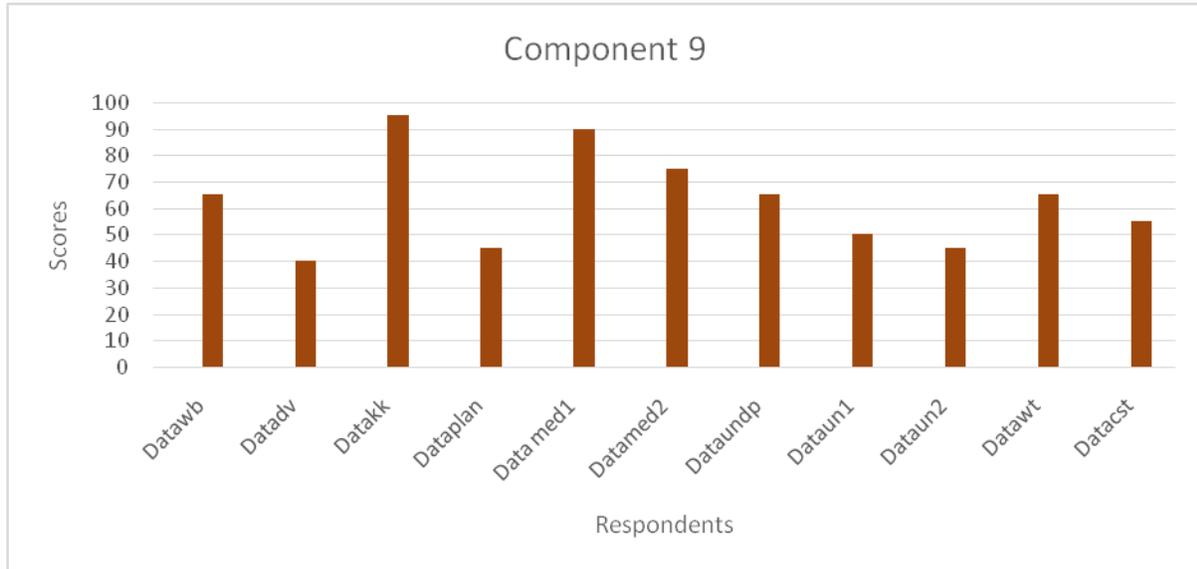
Figure 4. 9: Existence of National and Sub-national data bases (Component 9)

Source: Kenya NIMES Assessment.

From figure 4.9, we can see from responses that there is a mix of opinions on the functionality of the component. Whereas some felt the component was mostly functioning, others thought it was fairly functioning while some thought it was only partly functioning.

As regards specific responses to specific statements on aspects of the component, five respondents felt there was no functioning system to electronically extract data from other systems, there were no guidelines for transmitting data from other systems to support NIMES and that there are no adequate human resources for updating and maintaining the national and sub national databases. From extra information accessed, it was noted that there is a projects database (Electronic Projects Monitoring Information System, referred to as e-ProMIS) that holds projects data for both National level and devolved level. It was however noted that very few counties have uploaded their projects on the database, meaning therefore that the database was not being widely used by the devolved units. It was also noted that indeed the database is just one though with capacity to hold both national and sub national or devolved units' projects.

Also, that not all projects are in the system given that there are no people strictly assigned to updating and maintaining the system. These facts therefore point to accuracy of key informants' general assertion that the component is only fairly working.

4.2.10. Supportive supervision and Data auditing (Component 10)

On the other hand, the component on Supportive supervision and Data auditing was considered the worst performing component with an average score of 40.82. This is a score to say the component is barely in existence. Figure4.10 presents an average view of the responses to aspects of the component based on statements posed to respondents.
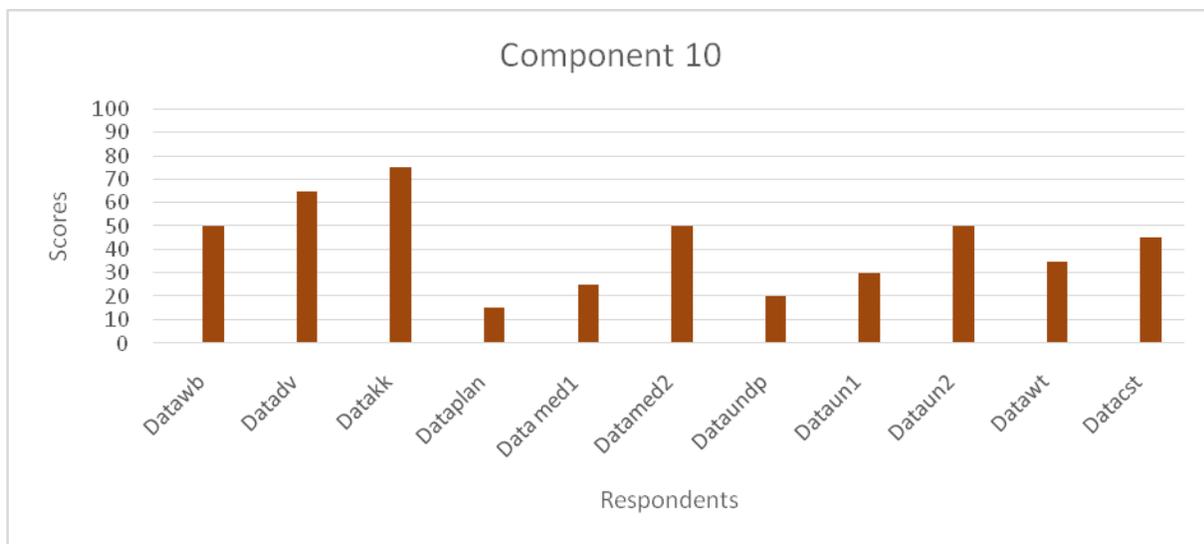
Figure 4. 10: Supportive supervision and Data auditing (Component 10)

Source: Kenya NIMES Assessment.

From figure 4.10, it is evident that most average responses regarding the component were that the component was only partly in existence or fairly functioning. An analysis of despondences revealed that experts felt there were no guidelines to direct supportive supervision and no supportive supervisions were conducted in at least the past half a year and that there are no protocols on which data should be included for national M&E nor when data auditing should be done.

Further information on the component revealed that there are operations that support the development of indicators and review of data submitted to the NIMES for National reporting;

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however, there is hardly any keen supervision of data collection or cleaning done. It was also revealed that ad-hoc backstopping exercises were carried out but these were very limited in scope and generally far apart. Backstopping exercises are meant to support M&E processes in the field.

4.2.11. Evaluation and research agenda (component 11)

The component on Evaluation and research agenda for NIMES was scored as the third worst performing component with a score of 51.82. This is a score only slightly into the category of operationalized component. Figure4.11 presents average responses to the statements posed to experts/ respondents.
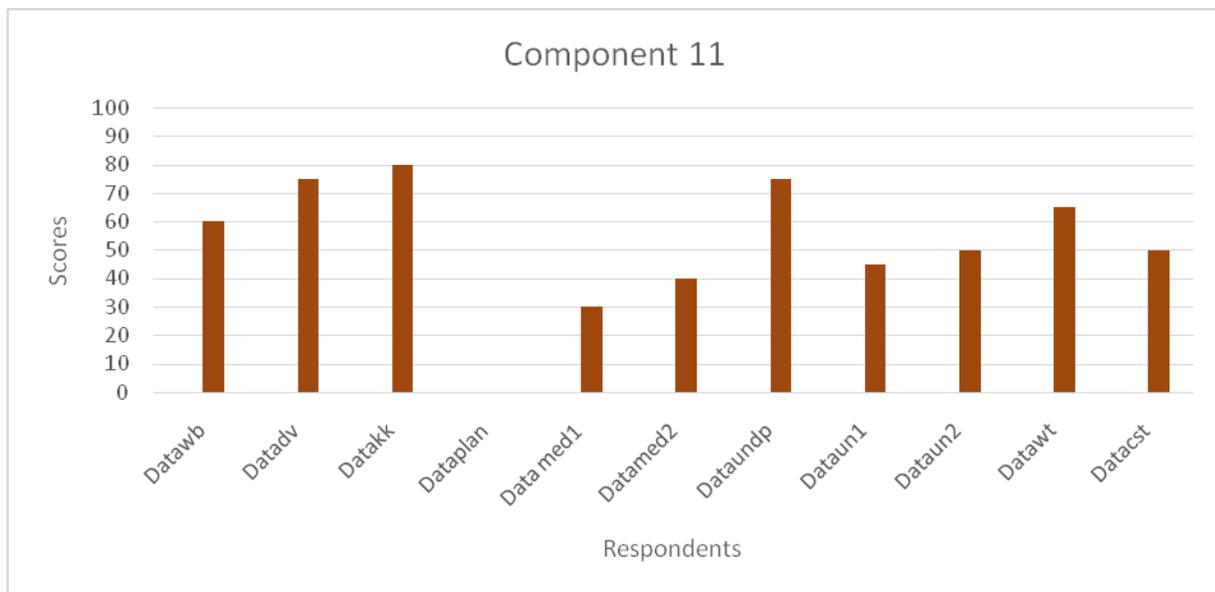
Figure 4. 11: Evaluation and research agenda (component 11)

Source: Kenya NIMES Assessment.

From the figure 4.11, we can easily see that there is almost equal distribution of scores on the component. The general position is thus the middle level which when interpreted means the component is just fairly working. These is after considering a verdict by some of them saying there is no inventory for evaluation where agencies can submit their evaluations, the committee for approving evaluation agenda has not met in the last one year and that there are no national and international partners who actively participate in peer reviews for evaluations. This was confirmed from discussions that revealed that there is hardly any research agenda that has been

articulated over the years. Also, that there is no body that is expressly responsible for approving the research agenda for NIMES.

It was revealed from literature that there has been an attempt to come up with evaluation plan. This plan when fully implemented is expected to clearly show which evaluations will be carried out. In addition, that there will be a database of evaluations already carried out. However, there is still no express financial backing for the evaluation plan. A few evaluations have actually been carried out with funding coming in intermittently from various agencies and Government but still this are not in an inventory or location easily accessible by many. Even possible evaluations carried out by other agencies have generally not been submitted to any central location to serve the NIMES.

4.2.12. Data dissemination and use (Component12)

This component was ranked at number nine best out of twelve with a score of 60.55. This was a score to say the component is fairly operational. Figure4.12 shows the average scores of how individual respondents felt about the component.
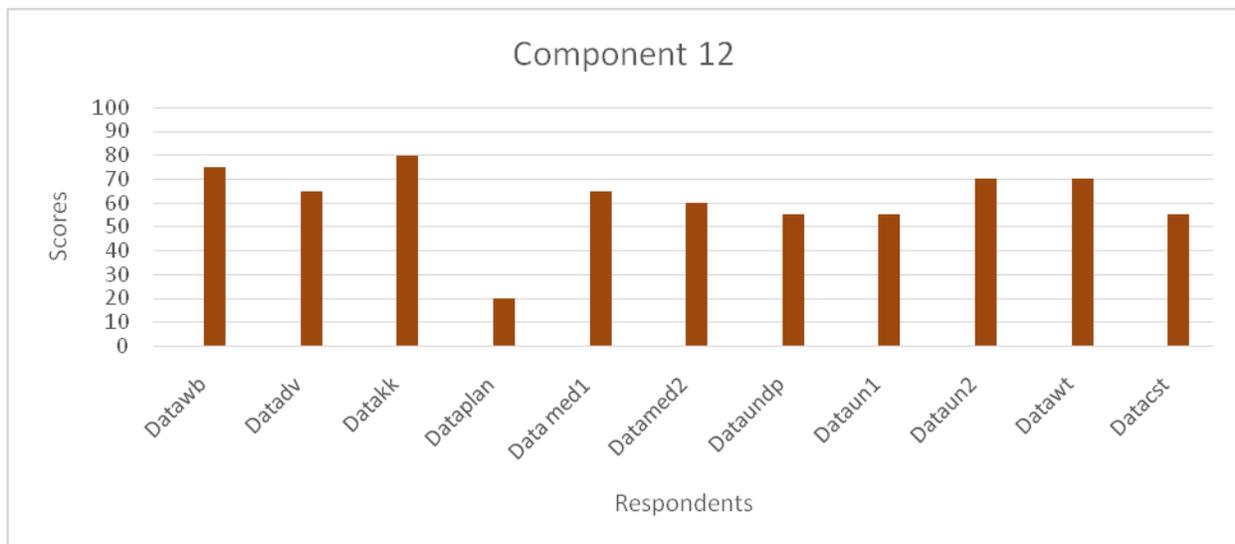
Figure 4. 12: Data dissemination and use (Component12)

Source: Kenya NIMES Assessment.

From the Figure 4.12, we can see that almost every respondent felt the component was at least fairly working. Only one felt the component was mostly functioning well and one felt it was only partly functioning.

Details of the specific responses revealed that one respondent felt information products from NIMES are never sent to stakeholders including back to data providers, that there are no guidelines used to support data development, analysis and presentation and that stakeholders have no access to the information through a public domain. However, other information sources generally disagreed with this single respondent. The extra information from discussions and document review confirmed the general assertion showing that data is generally disseminated through various documents including the Public Expenditure Reviews (PER) and the Annual Progress Reports (APR) which are generally distributed during various functions or on various websites. However, the use of this data was not strongly confirmed but it is believed to flow to the budget preparation process where sector PERs are a requirement in the budget preparation process.

It was also noted that distribution of documents would not meet the criteria envisaged in dissemination given the idea that dissemination is to enable significant interaction of target audience with the shared information. This may not be realised under distribution of documents. It was however confirmed that indeed there were hardly any guidelines on data analysis, dissemination and use of what is collected. Noted also was that data is not held at a central location easily accessible to the public and that stakeholder needs are hardly regularly assessed before data is collected. These facts actually greatly influenced the key informants' opinion on the component's functionality at NIMES.

CHAPTER 5

SUMMARY, CONCLUSION AND RECOMMENDATIONS

5.1. Introduction

Chapter five gives a summary of the results. The chapter also presents a conclusion and outlines various recommendations for policy and research.

5.2. Summary of the study

The study titled Kenya NIMES assessment was carried out with a main objective of assessing the functionality of the M&E System.

The study employed Maximum Variation Sampling approach of the purposive sampling method to collect data. This was complemented by review of various documents and general discussions with relevant key informants.

From the results of the assessment, Kenya NIMES was found to be fairly functioning with an average score of 59.8. This is becausemost of its components were considered to be fairly functioning with scores of between 50 points to 68.32 points apart from the components on Surveys and surveillance and the one on supportive supervision and data auditing which were shown to be partly functioning. Under the component, it was revealed that no guidelines existed to direct supportive supervision and no supportive supervisions had been conducted in half a year before. It was also revealed that there were no protocols to guide on data to be included for national M&E nor when data auditing should be done. Thus, there only existed ad-hoc backstopping missions whose scope is very limited.

The components on Surveys and surveillance was the second worst functioning M&E component had a score of 48.96 points. Under the component, hardly any specific surveys were being carried out nor was there any inventory for past surveys of future one.

On the other hand, the best functioning Kenya NIMES component was on National and multi-sectoral M&E plans. This component was said to be fairly functioning with a score of 68.32 points. The study revealed that in the component, though there exist initial important ingredients

(indicators) of the M&E plans for national and multi-sectoral levels, there are no comprehensive M&E work plans as defined within the M&E field.

The second-best functioning component was the existence of organizational Structures with M&E functions. This was also considered as fairly functioning with a score of 67.91. Under this component, it was revealed that most institutions do not have clear M&E structures with clear and separate M&E responsibilities that are different from other professions. However, there exist some structures albeit minimal.

5.3. Conclusion

From the results, it is evident that there are no strongly functioning M&E components within the NIMES. Most components are only fairly functioning and so is the entire system.

With a score of 59.8 for the Kenya NIMES, the system is indeed fairly functioning, However, even without considering the worst performing components, it is worth noting that not a single component at the Kenya NIMES was considered to be completely or mostly functioning considering scores of 100% or above 75% respectively. It is definitely risky to rely on a system that does not have any of its components at least, mostly functioning. More so that some of the components are only partly (barely) functioning.

On the basis of this position of it being risky to rely on a system that does not at least mostly function, the study concludes that NIMES functionality is at unacceptable level. This implies that the functioning of the system as it is, is at a level inadequate for it to meet the system's objectives of integrating all M&E systems in the country and also of en-culturing M&E in the country.

5.4. Recommendations for policy and further research.

a) To ensure maximum effectiveness in the component on Organizational Structures with M&E functions, the agency coordinating NIMES should identify the basic functions that M&E personnel should perform in an organization and sensitize other agencies on the need to have clear structures and functions clearly earmarked for M&E personnel.

b) On human capacity for M&E, a capacity gap analysis should be done and courses tailored to fill the gaps. Also, a database should be created with clear rules on what level of qualifications a person should attain to qualify to be included in the M&E personnel database.

c) As regards Partnerships to plan, coordinate and manage the M&E system, the technical advisory groups should be revived with clear roles that are significant to the operations at the National Integrated Systems (NIMES) coordinating body. Partnerships need to be created for purposes of peer reviews e.g. for evaluations etc.

d) On the component on National and multi- sectoral M&E plans, the Agency hosting NIMES should pursue to have clear M&E plans where indicators are part of the entire plan. The plans stipulate who will collect what data, where, when and how.

e) Annual, costed National M&E plans should be developed and sources of funds clearly shown. All activities should be specifically funded and not a lump sum figure that may include administration expenses.

f) As regards Communication, Advocacy and Culture for M&E, the culture of M&E must be enhanced within the society by encouraging decision makers to seek and use M&E information in decision-making. This can be promoted by sensitizing the decision makers on matters of M&E including where to get information. The validity of the availed information must also be continually assured. Further, Agencies must be sensitized and policies made that ensure inclusion of M&E personnel in organizations management structures. In addition, Communicating of M&E performance by M&E practitioners must be prioritized in the planning.

g) Routine program monitoring, this should be well planned and undertaken by monitoring and evaluation personnel with clarity on who the recipients of the generated information would be. Frequency of the monitoring should also be made clear on each project.

h) More Surveys and surveillance should be carried out to ensure adequate supply of relevant information.

i) National and Sub-national data bases should be operationalized where the national database picks data from the sub national data basses or if there are no sub national databases then there should be enough capacity to use/update the national database. Adequate personnel should be engaged to update and maintain the data basses.

j) Effort must be made to ensure Supportive supervision and Data auditing is carried out consistently. This may be by having clear plans on when or how technical back stopping shall be carried out and when how and who will verify data submitted to the higher levels of administration or to users.

k) For consistent supply of information, Evaluation and research agenda must be clearly stated for at least a year. The agenda must be that which considers information needs and there should be an approving agency set up specifically to be approving the research agenda. A database should be established to hold they evaluations carried out and this should be accessible to the public.

l) On Data dissemination and use, there should be clear policy and practice of identifying information users and tailoring information to them. Aggressive effort needs to be employed to relay M&E data and information.

m) Research on the contribution to M&E systems by the M&E components should be carried out so as to determine the order of components most significant in ensuring strong M&E system.

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Letter of Introduction

Andrew MabutoWelime
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July 2019

Dear Respondent
REF: NIMES ASSESMENT
Am a University of Nairobi Monitoring and Evaluation masters Student carrying out an assessment of the National Integrated Monitoring and Evaluation System (NIMES). The assessment will go a long way in providing valuable information to improving of the system and will contribute to finalization of my degree programme.

You are one of the few people much conversant with NIMES hence my reaching out to you.

The purpose of this letter therefore is to request you to respond to the short answer questions questionnaire here attached. You simply need to click on the box of your chosen answer. Any additional comment to justify your answer if it is not a "yes" will be greatly appreciated.

Thank you in advance for your time and valuable support

WelimeMabuto
0720-352614

NIMES Assessment Questionnaire

Background information
The questions here below are an interrogation on the possible M&E components at the NIMES in Kenya. The components are the generally accepted as standard for an effective M&E system. Your responses will help to gauge the level of effectiveness of the NIMES in Kenya which this assessment is all about.

To respond, you simply click on the check-box preceding your chosen answer. Additional comment on answers that are not "yes-completely" will be greatly helpful to the assessment. You may use the blank space immediately below your response to give any additional comment.

The identity of the respondent will remain confidential.

Thank you for your time and responses.

Name of organization/Department………………………………

Questions
Component 1: Organizational Structures with M&E Functions

1. *M&E full-time and/or part-time posts are filled at the NIMES co ordinating body. (people currently working)*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *Each organization where NIMES linked responses are expected from has at least one qualified person dedicated full-time to M&E data management.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *Each organization where NIMES linked responses are expected from has clearly defined M&E job descriptions for M&E officers.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *Each organization where NIMES linked responses are expected from has an entity with written mandate to execute M&E functions.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *Each organization where NIMES linked responses are expected from has an M&E entity that is fulfilling its M&E mandate*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 2: Human Capacity for M&E

1. *M&E-related skills and competencies of the M&E staff at organization where NIMES linked responses are expected from have been assessed within the past 3 years.*

☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *The GAPS in terms of the M&E related skills and competencies required by the entity's staff responsible for M&E have been incorporated into the entity's Human Capacity Building Plan*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. There is a nationally-endorsed M&E training curriculum being implemented.

☐ Yes- Completely.　　☐ mostly.　　☐Partly.　　☐None/not at all.

4. M&E human capacity relative to the M&E system is being built through colleges, universities and/or technical schools

☐ Yes- Completely.　　☐ mostly.　　☐Partly.　　☐None/not at all.

5. There is a national database of trainers and other technical service providers capable of building M&E capacity

☐ Yes- Completely.　　☐ mostly.　　☐Partly.　　☐None/not at all.

Component 3: Partnerships to Plan, Coordinate and Manage the M&E System
1. There are national M&E technical working group/committee coordinated by a secretariat.

☐ Yes- Completely.　　☐ mostly.　　☐Partly.　　☐None/not at all.

2. The National M&E TWG/committee   meet regularly.

☐ Yes- Completely.　　☐ mostly.　　☐Partly.　　☐None/not at all.

3. Various entities participate actively in the National M&E TWG/committee meetings.

☐ Yes- Completely.　　☐ mostly.　　☐Partly.　　☐None/not at all.

4. TOR for the National M&E TWG/ Committee clarifies the TWG's role in approving documents, providing technical leadership, and coordinating the M&E system.

☐ Yes- Completely.　　☐ mostly.　　☐Partly.　　☐None/not at all.

5. *The national M&E TWG/ committee/s has been effective at promoting development of a national consensus on a set of practical forms for routine M&E reporting.*

    ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 4: National, Multi-sectoral M&E Plan

1. *There is a national multi-sectoral M&E plan*

    ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *Entities actively participated in development of the current national multi-sectoral M&E Plan.*

    ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *During the development of the National M&E plan, national set of indicators in the M&E plan are assessed before finalization; against national and applicable international objectives.*

    ☐ Yes- Completely.   ☐ mostly.   ☐ Partly.   ☐ None/not at all.

4. *Each organization where NIMES linked responses are expected from has an Entity-specific M&E plan(s).*

    ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *Each organization where NIMES linked responses are expected from has an Entity-specific M&E plan linked to national M&E plan.*

    ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 5: Annual, Costed, National M&E Work Plan.

1. *Activities in the National M&E Work Plan are allocated to at least one lead agency for implementation*

    ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *The costs of the M&E work plan are included in the official government budget (e.g. Medium-Term Expenditure Framework of Government)*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *Resources are available to meet agency specific M&E work plan requirements.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *The M&E work plan containing the current year was developed or modified based on the achievements (progress) against the previous year's activities.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *Entities participated in the development of the current year national, costed M&E work plan.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

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

1. *There are people who strongly advocate for and support M&E within the agencies.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *Policy makers, Directors and managers request for M&E related information before /during reviews, planning, costing/budgeting processes.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *M&E personnel are part of forefront Organizations and Government management and planning teams*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *Performance of the M&E system is communicated/reported on frequently.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *M&E policy and strategies are included in the national planning policies and strategies.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 7: Routine Programme Monitoring

1. *National guidelines exist that provide instructions on how M&E data quality should be maintained (e.g., avoiding double counting, assure reliability and validity)*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *The same operational definitions of routine monitoring (program output) indicators (from the national M&E system) are systematically used by all groups.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *People with assigned responsibilities have been assuring data quality prior to submission to the next level.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *Officers responsible for receiving reports from lower levels, systematically verify their completeness, timeliness and identify obvious mistakes before aggregating the data.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *Outputs of routine program monitoring contribute to the indicators as defined in the national M&E plan.*

☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 8: Surveys and Surveillance

1. *An inventory of all surveys/evaluations and surveillance already conducted / and to be conducted in the country is updated every 12 months.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *Surveys and surveillance conducted to date have contributed to measuring indicators in the national M&E plan*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *National surveys or surveillance on specific identified indicators of interest is conducted every 2-3 years.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *Secondary analysis of existing evaluation/surveillance report/data, and programme monitoring data is undertaken every 2-3 years.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *Capacity assessment surveys on M&E systems at organizations where NIMES linked responses are expected from is conducted every 2-3 years.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 9: National and Sub-national M&E Databases

1. *Database/s for electronically capturing and storing data generated for/by the national M&E system is functional.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *There is a functional integrated database for electronically capturing and storing data M&E from a wide range of systems.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *Guidelines exist for transmitting, entering, extracting, merging and transferring data between databases that support the national M&E system.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *Quality control mechanisms are in place to ensure that data are accurately captured.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *Human resources for maintaining and updating the national and sub national databases are adequate.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 10: Supportive Supervision and Data Auditing

1. *National guidelines and tools for supportive supervision on M&E are used.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *Supportive supervision was conducted as per the national protocols, in the past 6 months.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *Entities can access supervision and data auditing results, and follow upon recommendations made during supervision visits.*

☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *National protocol for **auditing** data used in the national M&E **reports** exists.*

☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *Data auditing is conducted as per the time frames stipulated in the national data auditing protocol.*

☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 11: Evaluation and Research Agenda
1. *An inventory (register/database) exists where most of research, and evaluation **institutions** and their activities in the country and has been updated in past 12 months.*

☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *New research and evaluations are approved by a mandated national team/committee following defined procedures*
☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *The research and evaluation agenda are prioritized based on input from key Evaluation and research stakeholders.*

☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *The team/committee mandated for coordinating and approving research and evaluations meets as scheduled in every 12 months.*

☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *National and International partners actively participate in joint peer reviews during annual, midterm or end term programme evaluations reporting.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

Component 12: Data Dissemination and Use

1. *stakeholder information needs are assessed frequently.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

2. *National and sub national information products meet stakeholders' M&E information needs.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

3. *Information products are regularly sent to a wide variety of stakeholders including data providers.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

4. *There are guidelines and are used to support development, analysis and presentation to enable use of M&E data.*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.

5. *Stakeholders have access to the data/information products in the public domain (on line or central info center)*

   ☐ Yes- Completely.   ☐ mostly.   ☐Partly.   ☐None/not at all.