AN ASSESSMENT OF UNICEF KENYA COUNTRY OFFICEE MONITORING AND EVALUATION SYSTEM

BY

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DECLARATION

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

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DEDICATION

I would like to dedicate this project to my dear Husband, Gilbert Longolol and my little angels Victor and Joy for their unwavering moral support and patience throughout my study period. I also dedicate this project to UNICEF KCO M&E staff, M&E community of practice and programme staff for the technical and moral support throughout my study period. It is my sincere hope that this report will contribute to strengthening of UNICEF KCO M&E system. Last, but not least, I dedicate this project to Population Studies and Research Institute (PSRI), as one of the projects by the second M&E postgraduate class. I hope that this work will contribute to the existing body of knowledge and that it will inform similar assessments.

ACKNOWLEGDEMENTS

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LIST OF ACRONYMS AND ABBREVIATIONS

AIDS	Acquired immune-deficiency syndrome
CSSC	Christian Social Services Commission
ECD	Early Childhood Development
ECG	Evaluation Cooperation Group
FANTA	Food and Nutrition Technical Assistance
FHI 360	Family Health International
GoK	Government of Kenya
HIV	Human Immunodeficiency Virus
HMIS	Health Management Information System
IFC	International Finance Corporation
KCO	Kenya Country Office
MDG	Millennium Development Goals
M&E	Monitoring and Evaluation
MIGA	Multilateral Investment Guarantee Agency
MoRES	Monitoring of Results and Equity Systems
MTP	Medium Term Plan
NACS	Nutrition, Assessment, Counseling, and Support
NSO	National Statistical Office
OVC	Orphaned and Vulnerable Children
PEPFAR	President's Emergency Plan for AIDS Relief
PRS	Poverty Reduction Strategies
RAM	Results Assessment Module
SDG	Sustainable Development Goal
SO 16	Strategic Objective 16
TB	Tuberculosis
TWG	Technical Working Group
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNDAF/CP	United Nations Development Assistance Framework Country Programme
UNICEF	United Nation Children's Fund

ABSTRACT

The overall objective of the study was to assess the UNICEF KCO M&E system and more specifically the assessment was aimed at establishing whether the UNICEF KCO M&E system meets the established standards for an M&E system. The study also aimed to identify strengths and gaps of UNICEF KCO M&E system. The study adopted approaches used for M&E system assessment previously done by organizations such as World Bank, UNAIDS, The Global Fund and FHI 360.

The assessment employed cross sectoral research design which allowed for description of the current UNICEF KCO M&E system and helped to establish strengths and gaps which were fundamental to the realization of research objectives.

The target population for this study was the UNICEF KCO M&E unit, Monitoring and Evaluation Specialists and Officers, Programme Officers, as well as the Chief of Sections. The sample size of the study was 30, the size was purposively sampled from the programme staff who are responsible for M&E work in their respective sections. This method of sampling was appropriate for the study in order to have informed responses to the questionnaire that was administered.

Data was collected through a questionnaire that focused on the assessment of the 12 components of an M&E system. Each of the 12 components was analyzed independently based on the performance of their respective elements identified and an average of each obtained to determine the overall performance of the M&E system. The results of the study showed that the UNICEF KCO M&E system had an average score of 72 percent in all the 12 components the lowest score being 54 percent and the highest score being 89 percent. This a good indication that the system is meeting the established standards for a functional M&E system.

The assessment identified key strengths of the UNICEF KCO M&E system in the following components: Routine programme monitoring, Surveys and Surveillance, Supervision and Data auditing, Research and Evaluation. However, the following components presented opportunities for strengthening; Organizational structure, Human Resource for M&E and M&E partnerships.

Key recommendations were also made for the organization to consider for implementation to further strengthen its M&E system.

The recommendations were based on the poor scoring of respective performance indicators. Organizational structure; Organization to consider budgeting and hiring of M&E staff in each field office so as to foster the M&E agenda in the field offices.

Human Capacity in M&E; The study also recommended periodic assessment of the required skill set for M&E staff. This is important since programmes are dynamic and need to be abreast with the changing needs and environment. The organization should partner with more colleges and universities to build capacities through curriculum development as well as strengthen coordination of capacity building activities so as to avoid duplication of efforts.

M&E partnership; Based on the results obtained the study recommended that an inventory of M&E stakeholders should be established and periodically updated and monitored so that there is better coordination and sharing of information among all the stakeholders. Lastly, the study recommended that the organization should develop a routine communication channel to facilitate exchange of information among stakeholders.

CHAPTER ONE: INTRODUCTION

1.1 Background Information

With the advent of globalization, there are growing pressures on governments and organizations around the world to be more responsive to the demands of internal and external stakeholders for good governance, accountability and transparency, greater development effectiveness, and delivery of tangible results (Jody Zall Kusek and Ray Rist, 2004). Such growing demands call monitoring and evaluation of programmes and policies. Monitoring and Evaluation (M&E) is a tool that supports good governance by providing information that enhances evidence based policy decisions as well as evaluating the effectiveness of programmes. Monitoring and evaluation complement each other, however each of the component does a distinct role.

Monitoring sets targets and interprets objectives into performance indicators; it collects data and analyses it to give information on the status of a policy or program. Information or data from a monitoring system gives evidence on where adjustments needs to be done in programme implementation and at the same time report progress on planned results. On the other hand, evaluation is a systematic review of planned, ongoing or completed programme or interventions. It gives insights into why planned results were achieved or not and on the causal relationships between programmes and results.

A system may is defined as a set of interdependent or interacting, interrelated components forming a complex whole (The Free Dictionary, 2007), and "systems thinking" is about gaining insights into the whole by understanding the interactions and linkages among the components that form the entire system (Senge, 1990). It follows that in a systems thinking approach, it is necessary to identify the elements of the system and appreciating that they are interconnected.

M&E system can be described as an organized set of collection, processing and dissemination activities designed to provide programmes with the information necessary to plan, implement, monitor and evaluate programmes. A functional M&E system is a powerful public management

approach or strategy used by organizations and governments to implement programmes to achieve planned results.

United Nation Children's Fund (UNICEF) is the agency mandated by the United Nations General Assembly to advocate for the protection of children's rights, to help meet their basic needs and to expand their opportunities to reach their full potential. In UNICEF the responsibility of monitoring and evaluation in lies with the country offices with support for monitoring being given by the programme division in New York and the evaluation office provides assistance for evaluation activities. The regional offices monitor country programme evaluation plans and provide support for monitoring as well as training and technical assistance.

Monitoring and Evaluation system is used to establish whether UNICEF programmes are responsive and can effectively and efficiently respond to issues that affect the most disadvantaged children. For example, in the new 2030 Sustainable Development Agenda, Early Childhood Development (ECD) has been recognized as a key priority in achieving sustainable development, poverty eradication, equality and women's empowerment. Sustainable Development Goal (SDG) target 4.2 aims at ensuring that by 2030, all girls and boys will have access to quality ECD, care and pre-primary education so that they are ready for primary education.

Monitoring and Evaluation system in UNICEF has a strategic role of informing policy making processes; whose objective is to improve effectiveness, relevance and efficiency of policy reforms. UNICEF provides a broad range of monitoring and results tracking systems. The VISION Performance Management System has four avenues for programme monitoring; a) the Managers Dashboard, b) Management Reports, c) Results Assessment Module (RAM), and Enterprise Risk Management. It is integrated with transactional data from the VISION transactional management system and other sources, to generate analytical reports in the manager's dashboard and management reports and track progress towards the achievement of results.

In Kenya, UNICEF Kenya Country Office (KCO) programme monitoring takes place at different levels, including inputs, processes and activities, United Nations Development Assistance Framework Country Programme (UNDAF/CP) outputs, outcomes, and national priorities as defined in the Medium Term Plan (MTP) and the Kenya Vision 2030. Programme monitoring is implemented through collective efforts of Government, implementing partners and UNICEF programme staff. Monitoring is an important programming process that helps to inform managers, programme officers and stakeholders about progress in implementation of planned activities and identifying enabling factors and bottlenecks towards the realization of results. The key programme indicators are derived from the Kenya Vision 2030, MTPII, UNDAF 2014-18, and the Government of Kenya (GoK)-UNICEF Country Programme.

The monitoring approach envisaged in the four tier Monitoring of Results and Equity Systems (MoRES) framework is the foundation for UNICEF Kenya Country Office programme monitoring. The four levels of focus are: Level 1: Monitoring the situation analysis to identify the most disadvantaged children and how programmes can be designed to address the identified deprivations; Level 2: Monitoring of programme implementation, with focus on UNICEF inputs and outputs that address key depravations; Level 3: Monitoring at sub-national and national levels, to analyze progress in addressing barriers and bottlenecks as related to supply, demand and enabling environment; Level 4: Monitoring trends in overall outcome and progress in reducing child deprivations. MoRES thus helps to support the government and partners in addressing the critical gap and time lag between routine monitoring of programme inputs/outputs and the monitoring of final outcomes or/and impact.

A comprehensive UNICEF KCO programme monitoring system comprises of approaches, processes, mechanisms and tools that are meant to provide for data and analysis, validation and inclusive participation. The system also lays out the roles and responsibilities of results teams, field office coordination, the planning unit and management. The study aimed at establishing whether the UNICEF Kenya Country Office M&E system components are compliant to standard M&E system.

1.2 Problem Statement

While there is considerable acknowledgement of the role of M&E within UNICEF programmes, there are challenges that are related to capacity, sustainability and the extent of participation of stakeholders among other issues. While there is a general acknowledgement that capacities for M&E within UNICEF are strong, capacity building needs to government and other implementing partners are seldom mentioned and rather unspecified. The UNICEF working paper on M&E for OVC (2009), observe the following as the challenges faced by UNICEF in the development and implementation of its M&E systems;

Harmonization challenges, which encompasses issues on, funding flows, different reporting periods, systems of data collection and reporting challenges, resolving different perspectives and priorities, multiple actors. Capacity and leadership challenges, for example inadequate M&E experience; who is accountable? Challenges in designing and operationalizing M&E systems to UNICEF implementing partners in low resource settings such as rural areas.

Non quantifiable programme objectives, particularly during the planning stage as there is lack of clarity on whom among the beneficiaries, to include and exclude. Most so, there exist no standard national guidelines that guide the delivery of quality interventions, and as a result, affects data collection. Methodological challenges where there are different data collection methods across implementing partners, government departments and other relevant stakeholders. Ethical challenges, particularly those arising during collection of data regarding sensitive areas, especially those touching on sexual and/or reproductive health issues.

UNICEF KCO Programme Monitoring Strategy (2014) indicates that the current KCO programme monitoring system lacks a comprehensive approach to address the limitations in monitoring progress towards achieving results. Based on the analysis and gaps as detailed in KCO Audit recommendations, it notes that the monitoring tools and use of data from programme monitoring are not systematic and consistent across programmes. This was due to the varied tools and approaches used across the country office. To that end, the study therefore sought to

assess UNICEF KCO M&E system to establish whether it meets the established M&E system standards as well as identify its strengths and weaknesses.

1.3 Research questions

The following questions guided the study.

(i) Does UNICEF KCO M&E system meet the established M&E system standards?

(ii) What are the strengths and gaps of the UNICEF KCO M&E system?

1.4 Research objectives

The general objective of the study was to assess the monitoring and evaluation system of the UNICEF Kenya Country Office.

The following were the specific objectives.

(i) To establish whether the M&E system of UNICEF KCO meets the established standards.

(ii) Identify strengths and gaps of the M&E system of UNICEF KCO

1.5 Justification of the study

An M&E system assessment is an analytical function that helps stakeholders to identify strengths and gaps in the system and propose measures to sustain its strengths and develop on its gaps. The study compared the current M&E system used in the organization with regard to the established M&E system standards by analyzing all the 12 M&E system components.

The results of the study helped to identify strengths and gaps in the current UNICEF KCO M&E system and based on the results recommend the best measures to maintain the strengths and develop its weaknesses, as well as provide valuable information for future interventions and funding of programmes. Similar programmes may also benefit from the evidence generated from the study to improve their M&E systems as the study provides recommendations for technical and managerial interventions. Finally, the findings of the study will also add information to the existing literature on M&E systems and serve as a basis for research.

1.6 Scope and limitations of the study

The study was limited to investigating the status and performance of the UNICEF KCO M&E system as compared to studying UNICEF as a whole. The target population was also purposively sampled with a bias on the staff involved in M&E work as well as programme staff but not all UNICEF KCO staff. This was important so as to allow the researcher to choose key informants who were most suitable to provide the required information.

The study was limited to focusing on a single case study where it was difficult to attain generalizability as compared to other types of qualitative research. However, much can be learned from a particular case study.

The method of data collection was limited to a questionnaire which had only closed ended questions. In depth discussion with the key informant was not successful since the targeted respondent relocated to another country therefore not making it possible for the researcher to collect this type of data. Qualitative data would have opened new insights as to why the M&E system is as is.

Lastly, the study focused only on assessing UNICEF internal arrangement for M&E, it did not include other stakeholders such as implementing partners, donors, beneficiaries.

CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

This chapter presents the literature reviewed and focuses on the evolution of M&E in development, the need for an M&E system, M&E system assessments, conceptual framework and the operational framework.

2.2 Evolution of M&E in Development

Estnella & Gaventa (1997) acknowledged that M&E had evolved over time due to the need for results-based management, limited resources and involvement of non-state actors in development. M&E for development way back in the pioneering years of the 1970s. For the purpose of clarity evolution of M&E has been categorized into different periods. This grouping does not necessarily mean that progress is linear, but it is important to understand how M&E has developed over the years. As described in the following paragraphs, Roger Edmunds & Tim Marchant (2008) gives an evolution of M&E from the 1990s to 2000s.

M&E began in the 1970s as a branch of applied research where more emphasis was on evaluation. However this perception was later challenged by individuals who viewed it as a management tool. This school of thought put emphasis on performance budgeting, M&E reporting systems and project-level budget management, those involved mainly had financial or management background and interest in project.

In 1980s, focus shifted from projects to sectors where sector-wide approach became popular as a way of advocating and coordinating sector-wide and national development planning. Monitoring and evaluation developed into functions within the ministries and later M&E units were established in the ministries. At the time, National Statistical Offices (NSOs) did not actively participate in monitoring and evaluation of programmes, they occasionally did baseline surveys but were not fully set up to do M&E work. These early cooperation between NSOs and sectoral M&E programmes were not successful.

In the 1990s, NSOs became actively involved in monitoring of poverty using multi-topic household surveys. In most countries, NSOs were the only agency with the capacity to carry out large-scale national household surveys. However, their experience and skills were on the data collection and processing and not on data analysis. The analysis that NSOs did was basically descriptive and missed the analysis of crucial links between specific poverty policies and their outcomes in living standards. For an appropriate analytical capacity one need to go to universities and research centers. That notwithstanding, suitable capacity for poverty analysis was developed during this time, and some good poverty assessments were done.

With the introduction of poverty reduction strategies in the 2000s, there was a collaboration of poverty monitoring activities, project and sector-based M&E efforts. This was influenced by the increasing interest in evidence-based development as well as the need to establish national M&E programmes that centered on monitoring of Poverty Reduction Strategies (PRS) results. This also marked the beginning of the acknowledgement that information from M&E information is useful to both planners, policy-makers and planners, and to members of civil society and the public. M&E could as well promote accountability in public sector and private organization.

2.3 The need for an M&E system

M&E systems are important for a number of reasons. Past literature reveals that it is a credible source of information pertaining to organizational performance, thereby generating the kind of information decision makers can ascertain whether outcomes were achieved or not. Ultimately, this can promote credibility and raise public confidence and trust in the organization, thus supporting the notion of transparency and accountability (Morra Imas & Rist, 2009), which strengthens governance and establishes a performance culture within governments.

M&E is treated as a tool to design results-based management, promote transparency, support accountability and evidence-based policy making. (Mackay, 2007) continues to suggest that the many functions of M&E serves as a basis for good governance and makes it essential to achieve evidence-based accountability, evidence-based policy making, and evidence-based management. Accordingly, World Bank (2004), notes that the purpose of M&E is providing government

officials, managers and civil society with better means for improving service delivery, learning from past experience, demonstrating results, planning and allocating resources as part of accountability.

Morra Imas & Rist (2009) concur that the purpose of any evaluation is to provide information to decision makers to enable them make better decisions about projects, programmes or policies. Evaluation should help decision makers understand what is likely to happen, is happening or has happened because of an intervention and identify ways to obtain more of the desired benefits. M&E helps to identify and correct mistakes and build on the successes of best practice, thereby contributing to "continued improvements in the design and administration of programmes" (Atkinson & Wellman, 2003; Annecke, 2008).

M&E is an essential process that produces information to make informed decisions regarding service delivery and operations management including efficient and effective utilization of resources; establish the extent to which intervention is on track and to make any required amendments accordingly and measure the extent to which the programme has achieved the desired impact. Studies can also be done periodically to assess the relevance and need for programme (Rossi et al, 2004).

2.4 M&E System Assessments
FHI 360 (2013), World Bank (2007), UNAIDS (2009) and Global Fund et al. (2006) reiterate the need to periodically assess M&E systems at national, organizational and/or programme/project level to enable stakeholders in M&E identify strengths and weaknesses in the current system and recommend actions to maintain its strengths and improve its weaknesses. On the other hand, Karani et al. (2014) note that the importance of M&E is increasingly and rapidly being recognized, as stakeholders in development question the usefulness and effectiveness of development efforts. As a result, most organizations have developed M&E systems to enable them measure performance of their development interventions.

FHI 360 (2013) recognizes the expected outcome of a functional M&E system as not only production of high quality data, but also ensuring that the necessary inputs such as infrastructure, financial and human resources, equipment and supplies and capacity of the underlying system are in place to support the production, analysis and use of data. Thus, improving the quality and effectiveness of an M&E system is critical (FHI 360, 2013). With this in mind, organizations such as the World Bank, UNAIDS, The Global Fund and FHI 360 have invested in M&E system assessment tools such as the Monitoring and Evaluation Systems Strengthening Tool (Global Fund et al., 2006), Participatory Monitoring and Evaluation System Assessment Tool (FHI 360, 2013), and 12 Components Monitoring and Evaluation System Strengthening Tool (UNAIDS, 2009) have been developed to guide this important component. The above M&E system assessment tools have been used to assess national and organizational M&E systems.

Ogungbemi et al. (2012) assessed Nigeria's national HIV M&E system using the 12 Components Monitoring and Evaluation System Strengthening Tool by UNAIDS (2009). The M&E assessment employed a qualitative and participatory approach that enabled discussion, reflection and consensus building. The main activity of the assessment process was the completion of the 12 components tool by stakeholders to serve as a basis for discussion and strategic planning and help build commitment to improving M&E system performance.

World Bank's Independent Evaluation Group (IEG) assessed M&E systems of the International Finance Corporation (IFC) and Multilateral Investment Guarantee Agency (MIGA) (IEG, 2013) and asserts that these sources meet the evaluative inquiries targeted to particular business segments and M&E characteristics. IEG used multiple instruments in its evaluation; interviews and surveys of staff and management, a sample of project-level M&E data, desk reviews of policies and procedures, various internal databases, internal memos and strategic documents. IEG compared existing procedures, practices and M&E policies, with established standards such as the good practice standards for private sector evaluation of the Evaluation Cooperation Group (ECG) for multilateral development banks.

Kate Macintyre, Erin Eckert, Amara Robinson (2002). Conducted an assessment of the Roll Back Malaria monitoring and evaluation system so as to provide recommendations for improvements of the monitoring system at all levels of the partnership. The methodology used consisted of database reviews, document reviews, summary analysis of indicators and methodology, and key informant interviews in Geneva, Harare and Atlanta. The study revealed weaknesses in methodologies used to collect data, inconsistencies and lack of standardization across the data collection efforts, gaps and delays in data acquisition and entry, and lack of financial and human resources at key centers.

Development Associates, Inc. (2003) conducted a study which aimed to provide an assessment and inventory of the status of strategic objective (SO) 16 Partner monitoring and evaluation functions, plans, and systems.

In preparing the report, each of the SO 16 Partner's M&E activities were individually reviewed, with a focus on; monitoring and evaluation systems design, data quality and collection methodologies and usage of M&E systems for program planning as well as reporting. From this, strengths and weaknesses were analyzed, and recommendations were made.

Relevant documents were also collected and analyzed for each of the SO 16 Partners. They included; scopes of work within the contractual agreements with USAID, the activity's quarterly reports, as well as any other relevant documents available such as client satisfaction reviews, mid-term assessments, and impact and/or process evaluations.

The results showed that while some partners have developed sophisticated and comprehensive M&E systems, others have not implemented any formal system of information gathering and analysis.

FANTA (2016) conducted a landscape analysis to document the types of nutrition indicators collected at the national level in 16 countries funded by the United States President's Emergency Plan for AIDS Relief (PEPFAR) that were implementing Nutrition, Assessment, Counseling, and Support (NACS) activities. Lists of indicators for each of these categories were provided by FANTA's in-country networks. These networks included; FANTA staff, other projects working in nutrition and other U.S. government-funded programs. The analysis was carried out on behalf

of the Office of HIV/AIDS and focused on the following health-related M&E systems; general health management information systems (HMIS), HIV-specific M&E systems, tuberculosis (TB)-specific M&E systems, Nutrition-related M&E systems. The findings were of interest to national and international stakeholders working to support government-led monitoring and evaluation (M&E) systems for nutrition programs in these countries. The study included countries that are located in sub-Saharan Africa, expect for Haiti and Vietnam.

MSH. (2013) conducted an assessment with the overall objective to support Christian Social Services Commission (CSSC) in strengthening their M&E system and to link it with a database system that will accurately capture, and improve reporting of the activities.

The M&E System assessment was done using various methodologies, these included; administering MEASURE Evaluation tools for assessing the M&E Systems, MOST Plus tool and FANIKISHA tool. The result of the study showed that CSSC's M&E system is in place with some levels of functionality. Most of the system components showed some evidence of capacity and only needed to be strengthened.

2.5 Conceptual Framework

The conceptual framework for the study was founded on UNAIDS organizing framework for a functional national HIV monitoring and evaluation system. As shown in Figure 1.1 the framework was selected since it assesses all the 12 components which was the aim of the study as opposed to using other frameworks such as (FHI 360, 2013) which assesses only eight components. The UNAIDS framework describes the key components of an effective M&E system.

The grouped 12 components of a Monitoring and Evaluation System shown in Figure 1.1 can be classified into three categories as described below.

  i.   The green ring has six components associated with partnerships, people and planning that supports production and use of data.

  ii.   The blue ring has five 5 components that are related to data management

  iii.   The red ring represents data analysis to produce information which is disseminated to all stakeholders to aid in decision.
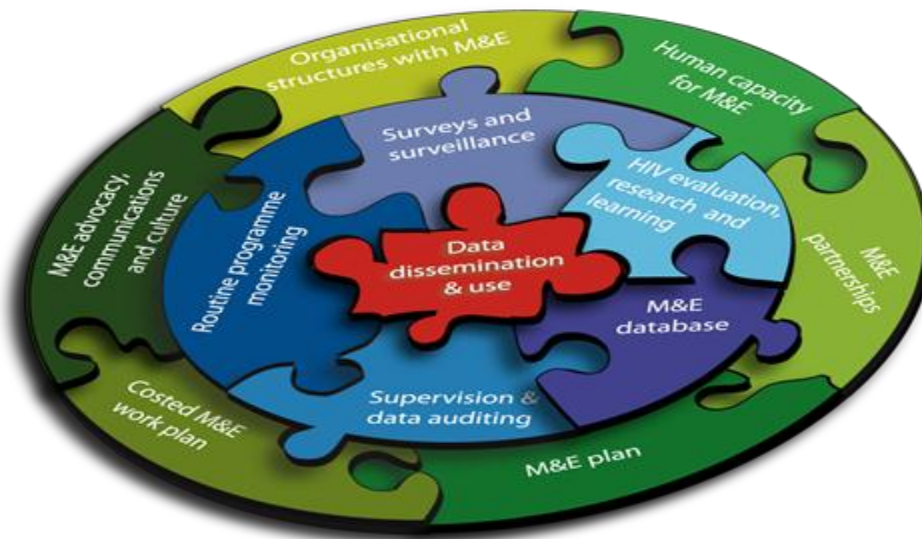
Figure 1.1: Twelve Components of a functional M&E System

Source: UNAIDS (2009)

2.5.1 M&E Component 1 (Organizational Structure)

For an effective M&E system an organization needs to establish an M&E unit that is mandated to manage all activities pertaining M&E as well as request data from all stakeholders. The M&E unit needs to have the autonomy to explicitly report on M&E data. An organization should have M&E staff at all levels, this includes sub-national and national. In addition to financial and human resources, basic infrastructure, supplies and equipment are also required for an effective M&E system.

2.5.2 M&E Component 2 (Human Capacity for Monitoring and Evaluation)

Organizations need to ensure that the M&E system has the required skilled human resources. Similarly human resource capacity building plan should be built at all levels in the M&E system. The plan must clearly show what are the expected outputs, have quantifiable performance objectives and a plan to track the progress. Capacity building involves a number of activities for

example, service training, training, mentorship, internships as well as coaching. M&E capacity building should address both technical and financial capacity building aspects

2.5.3 M&E Component 3 (M&E Partnerships)

Organizations should establish and maintain M&E partnerships through Technical Working Group (TWG) that meets frequently. The TWG should include all relevant M&E stakeholders as outlined in the costed M&E work plan. The partnerships can also be constituted through joint planning as well as joint M&E activities with representation from different sectors. It is important to have a mechanism in place to communicate with stakeholders who provide M&E technical support.

2.5.4 M&E Component 4 (M&E Plan)

A good M&E plan should be formulated and updated through the participation of all the key stakeholders. To ensure that pertinent data is collected, the goals in M&E plan must be linked to the overall strategic plan so that progress in implementing of programs can be measured. National M&E plan should outline how all the 12 M&E system components shall be implemented. It should also define the implementation plan and specify what resources will be required and how they will be mobilized. The national indicators and the national M&E plan should abide to the national and global technical standards. The M&E plan needs to be evaluated and regularly updated to make amendments in data collection strategy due to changes in the national strategic plan, and to strengthen the system performance as per the M&E periodic reviews.

2.5.5 M&E Component 5 (Costed M&E work plan)

A costed M&E work plan should be developed and should describe the priority M&E activities with defined responsibilities for implementation, costs for each activity, clear timeline for delivery of outputs and identified funding. Costed M&E work plan enables the organization to make sure that financial and human resources are mobilized. The costed M&E work plan should indicate who will finance and implement the planned activities. A costed M&E work plan is a joint work plan that incorporates the M&E activities of all relevant stakeholders. It enables key

stakeholders to plan and implement activities in a coordinated way; therefore it needs to be done through the participation of all the stakeholders.

2.5.6 M&E Component 6 (M&E Advocacy, Communication and Culture)

M&E culture needs to be encouraged and strengthened and this can be achieved by reducing the negative connotations regarding M&E. To achieve this it is important for organizations to have a communication, advocacy and culture strategy for M&E. The strategy should be multi-dimensional, with messages that target different audiences. Communication and advocacy strategy helps to get political support for accountability and transparency and to obtain political support it is important to find a champion for M&E. The champion should be influential and can encourage the use of M&E to a wide variety of audiences. This is important so that people can understand the importance of having quality data for decision making and policy formulation. The M&E communication and advocacy strategy should be incorporated in the organization communication strategy, this is important so as to make sure that M&E activities are being mainstreamed into interventions and programmes.

2.5.7 M&E Component 7 (Routine Programme Monitoring)

Stakeholders data needs should be determined and the routine data be availed to them at the right time as maybe required so as to help in decision making.

The standardized data should be obtained from different levels of the programme and this includes at the input, activity and output levels. The M&E unit should make sure that data is entered into the national M&E system in a timely manner so that they can be included in the routine reports and other information products.

2.5.8 M&E Component 8 (Surveys and Surveillance)

In the context of programme it is important to take into account why there is need for a survey and what are the specific focus and contents of every survey. Data collection tools and protocols must be founded on the international standards for surveys. To get high quality of data and ensure that results from repeated surveys are compared over time, it is important that the agreed standards are adhered to. When conducting surveillance and survey, organizations may also

consider doing data collection at the same time. By doing so, the organization will have saved on time and money.

2.5.9 M&E Component 9 (M&E Database)

An electronic information system is comprised of hardware, software, and skilled human resource who use the electronic database to capture, analyze, verify and share information. A database is not a precondition for an effective national M&E system; therefore there is need to have well-defined roles and responsibilities at service delivery, sub-national and national levels so as to ensure timely flow of data among the levels.

2.5.10 M&E Component 10 (Supervision and Data Auditing)

Supervision refers to guiding and managing performance of others by transferring knowledge, skills and attitudes that are required to achieve the set objectives. It helps the supervisor to assess the work that has been done, analyze it and give feedback to the supervisee on the areas that need improvements. On the other hand data auditing refers to the process of validating the accuracy and completeness of reported data. Routine data quality checks should always be done so as to ensure that the quality of data is continuously improved and sustained.

Guidelines on supervision are important in standardizing procedures and communicating expectations.

2.5.11 M&E Component 11 (Research and Evaluation)

Research and Evaluation is an essential component of the M&E system. Data from research and evaluation activities ensures that programme planning is evidence based and also the data can be used to guide improvement of ongoing programme. In order to identify research and evaluation needs it is important to establish a national process for identifying research and evaluation gaps that are linked to the national strategic plan. This is important since the process ensures that the evaluation and research studies are relevant to the needs of the programme and at the same time it provides actionable results. To avoid duplication of efforts while conducting research and evaluation activities there is need to have good coordination of the activities. The results of the

study should also be shared to all the stakeholders so that it can aid in decision making.**2.5.12 M&E Component 12 (Data Use and Dissemination)**

The primary objective for carrying out M&E is to get the data required to guide policy formulation and programme operations. The national M&E plan should have a detailed data use plan which is linked to data needs and data collection efforts. It should also have specific information products meant for different types of audiences and a schedule for dissemination of the information. The national M&E plan should also include activities to promote use of data, example of this activities include focus group discussions, workshops and meetings to discuss the importance of M&E data in programme planning and development.

A functional M&E system systematizes and presents data in a way that enables use of data use at all levels. There are a variety of approaches to encourage dissemination of data and use including; timely dissemination of good quality data, ownership of data, determining suitable information products for a variety of users, allocation of resources for data dissemination and use activities.

2.6 Operational Framework

In operationalizing the study, an assessment was done on the 12 components of the UNICEF KCO M&E system against established indicators/standards. The study adopted the UNAIDS framework for a functional national HIV monitoring and evaluation system, to operationalize all the twelve components of an M&E system.

Table 2.1 Operational framework

M&E Components	Indictors/standards
Organizational structure	• Existence of M&E unit • Adequate M&E staff in organization • Adequate qualified M&E staff in the field offices • M&E responsibilities are clearly defined in JDs • TA made available when needed and type needed • M&E staff are adequately motivated

Human capacity for M&E	• Monitoring and Evaluation related skills for staff have been assessed in last 3 years • M&E staff have skills needed to fulfill organizational M&E mandate • Gaps of M&E related skills required by staff have been incorporated in organization human capacity building plan • Human capacity related to M&E is developed in the learning institutions • Building capacity through supervision and on job training • Coordination of building capacity efforts to avoid duplication of efforts.
M&E Partnerships	• There is a (TWG) organized by UNICEF • The TWG meets regularly • Others agencies and partners participate in the TWG • The TOR for the TWG clarifies the role of TWG in coordinating M&E system • M&E TWG makes decisions via consensus building • Inventory of M&E stakeholders is regularly updated • There is a mechanism to communicate about M&E activities
Monitoring and Evaluation Plan	• Multi-sectoral plan is in existence • Sections actively took part in designing the multi-sectoral plan • The set of indicators were assessed during development of the plan • Sections have their own M&E plans • Section specific plans are incorporated into the organization's overall plan
Costed Monitoring and Evaluation work plan	• There is an M&E plan for the current year • Costing of M&E activities has been done • Specific time frames are allocated for implementation of activities. • Each sections has a costed work plan. • Section costed M&E work plan is included in the national M&E work plan • Organizational specific work plan for M&E have the required resources • The current year M&E plan was developed

		against previous years activities. • Sections were involved in the creation of the costed M&E work plan
M&E Advocacy, Communication and Culture		• The organization has people who champion and support M&E activities • Performance of the M&E is frequently communicated • M&E system information is useful to stakeholders • Managers are supportive and involved in M&E activities • M&E staff are part of planning and management team • There are opportunities for career development for M&E staff • M&E plans are intergrated in the organization overall policy
Routine programme monitoring		• Guidelines exist that document the procedures for reporting programme monitoring data • There are guidelines that specify how quality of data should be maintained • Sections use standardized reporting forms • All source documents have been available during previous data auditing visits. • Reports are verified by responsible officers before aggregating the data. • There are mechanisms to resolve variances in reports • Results of routine program monitoring are used to formulate indicators in the monitoring and evaluation plan
Survey and Surveillance		• Inventory of survey conducted in the last 12 months have been updated. • Surveys conducted have supported measuring of indicators • National survey or surveillance is conducted every 2-3 years
M&E databases		• Data is captured and stored electronically in an integrated database • There are structures for transmitting information among various databases • There are mechanisms to ensure that data is captured accurately.

Supervision and data auditing	• There are procedures and mechanisms for supervision of M&E activities. • Results of supervision have been documented and shared with the supervisee. • Supervision and data auditing results can be accessed by sections results • Results of data auditing have been documented and feedback shared with the stakeholders
Research and Evaluation	• There is a register of evaluation and research activities • There is a committee responsible for coordinating research and evaluations activities • Evaluation and Research results are being used in formulation of policies. • Findings of research and evaluation are regularly discussed and disseminated. • Resources for carrying out planned research and evaluations activities are available
Data use and dissemination	• Information needs of stakeholders have been assessed • Dissemination of Information products is regularly sent to the relevant stakeholders • Information is often transmitted to a variety of stakeholders • Information products from national and sub-national levels satisfy stakeholders information needs • Analysis, presentation and use of data is supported by laid down guidelines • Data/information products in the public domain can be accessed by stakeholders

Source: UNAIDS (2009a&b)

CHAPTER THREE: METHODOLOGY USED IN THE STUDY

3.1 Introduction

The chapter explains how the research was designed, data collected and analyzed. The methodology adopted enabled the study to establish the status and performance of M&E system of UNICEF KCO. It focuses on data sources, sampling and target population, data collection methods and tools, operationalization of variables, data processing and analysis and ethical considerations.

3.2 Data sources

The assessment employed secondary as well as primary sources of data. Primary source of data was obtained by administration of questionnaires to selected respondents from the M&E unit, programme staff and the M&E community of practice. Secondary data on the other hand was collected through the review of various documents.

3.3 Sampling and target population

Purposive sampling was used for the study, this sampling method is used where sampling is done with a specific purpose in mind (Morra Imas & Rist, 2009). For the purpose of this study, the kind of sampling selected enabled the researcher to choose key informants who were most suitable to provide the information required for this study. The sample size for the study was 30 respondents, this sample size represented the total number staff who are involved in M&E work within the organization.

The target population for this study was the UNICEF KCO M&E unit which comprises the Chief of Planning Monitoring and Evaluation, Research Specialist, Monitoring and Evaluation Specialists, Monitoring and Evaluation Officer, Programme Officer. The other target population was the M&E community of practice which comprises M&E officers from different sections; Health, Nutrition, Education, Child Protection, Social Policy, Communication and Advocacy as well as the Chief of Sections.

3.4 Data collection methods and tools

3.4.1 Interview

Primary data was collected through the administration of a questionnaire (see Annex I) to the target population. A questionnaire was designed based on indicators/standards of a functional M&E system adopted from the UNAIDS (2009a). The questionnaire focused on the evaluation the 12 components of an M&E system.

3.4.2 Document Review

This method was used to collect secondary data. Documents reviewed included; M&E frameworks, minutes from meetings and workshops, M&E plans and annual reports. The study adopted the UNAIDS (2009a&b), (see Annex II).

3.5 Operationalization of variables

To operationalize the assessment of UNICEF KCO M&E system, the researcher adopted the UNAIDS (2009a) 12 Components of Monitoring and Evaluation System Strengthening Tool, which has series of statements with three response scales as indicated below.

    a) Five point scale (Not Applicable, Yes completely, Mostly, Partly, No not at all)

    b) Three point scale (No, Not Applicable, Yes)

    c) Numerical responses

An example of the statement: "The frequency of data collection is stated for all indicators." If frequency is indicated for all the indicators, the response will be "Yes-completely". When it is at least 75 percent but less than 100 percent of indicators, the answer should be "Mostly". If for at least 50 percent but less than 75 percent of indicators, the response shall be "Partly", and if there are no indicators with frequency stated, the answer will be "No-not at all". When the statement is not applicable, the response should be "Not Applicable".

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

Based on this scales an average scoring for each of the indicator was calculated, similarly the overall means score for each of the component was calculated to determine performance of the respective components. To determine the overall performance of the M&E system an average score was calculated for all the components.

3.6 Data Processing and Analysis

Data analysis transforms unordered raw data into a data set of meaningful constructs, themes and concepts. Descriptive statistics approach was used to analyze data to calculate frequencies, means and percentages.

CHAPTER FOUR: STATUS AND PERFORMANCE OF THE UNICEF KCO MONITORING AND EVALUTION SYSTEM

4.1 Introduction

The aim of this assessment was to establish if the UNICEF KCO M&E system meets the established M&E standards as well as identify the strengths and weaknesses of the system. The chapter, therefore, describes study findings as well as interpretation of data obtained from key informants of the study.

4.2 Response Rate

Out of the 30 questionnaires administered, 26 were filled and returned, which represents a 88 percent response rate. Four questionnaires were not filled and returned due to some respondents going on leave and others travelling out of the country and, therefore, not able to respond in time for the analysis. According to Mugenda and Mugenda (2003) a response rate of 50% is adequate for analysis and reporting; a rate of 60% is good and a response rate of 70% and over is excellent, therefore the study had a good response. The good response can be attributed to the data collection procedures used where the researcher pre-notified the potential respondents and applied the drop and pick method to allow the respondents ample time to fill the questionnaires.

4.3 Background of respondent

The study sought to find out the background information of respondents which included sex, level of education and years worked in M&E or programme. Table 4.1 depicts respondents by sex to establish if there were gender parities in the positions. The study showed that the most of the respondents were male at 62 percent while female respondents were only 38 percent. This implies that there were more male than females involved in M&E activities at UNICEF KCO.

The results further indicates that 65 percent of the respondents were in the middle management, 27 percent in the junior management and 8 percent in the senior management. This implies that a majority of the staff in M&E department of UNICEF KCO are in the middle level management. In terms of work experience in M&E, table 4.1 shows that majority of respondents (62 percent) had experience in M&E projects for between 6-15 years followed by 23 percent who had less than 5 years experience in M&E. While 12 percent of the respondents had worked in M&E projects for a period between 16-20 years, a small proportion (4 percent) had an experience of over 20 years.

Table 4.1 Demographic scores of the respondents

Characteristics		Number of responses	Percentage Score
Sex	Male	16	62
	Female	39	39
Level of Management	Senior	2	8
	Middle	17	65
	Junior	7	27
Work experience in M&E work	1 to 5 years	6	23
	6 to 10 years	8	31
	11 to 15 years	8	31
	16 to 20 years	3	12
	Over 20 years	1	4

4.4 Status of UNICEF KCO M&E system

Overall scoring for the 12 M&E system components was computed as shown in Figure 4.1. The results show that the best performing components were surveys and surveillance and supervision and data auditing, having scored 88.5 percent each. The results show that the lowest scoring component was M&E partnerships at 50 percent. The assessment also sought to find out the mean score for the UNICEF KCO M&E system; of which, it was established to be 72 percent.
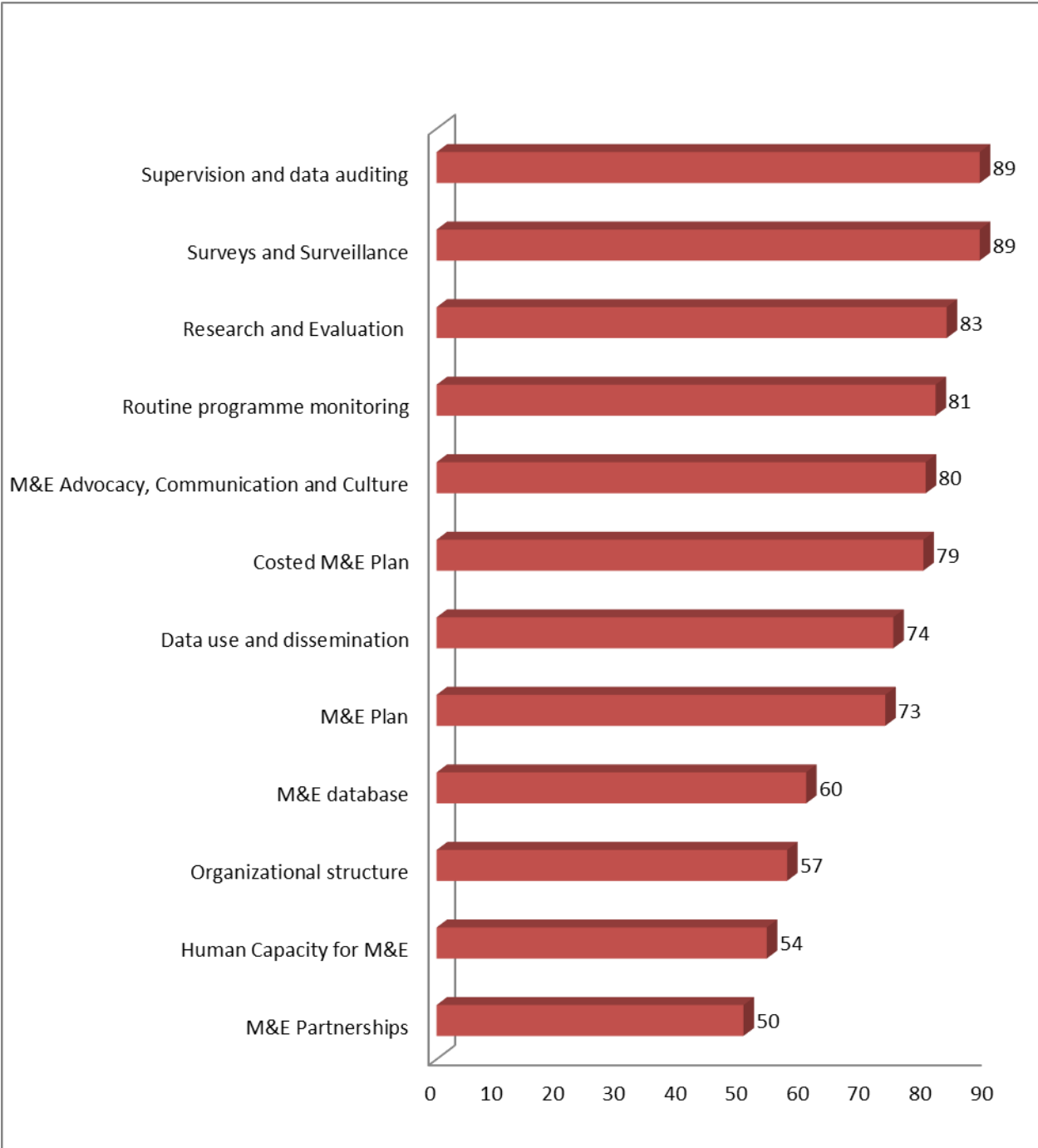
Figure 4.1: Overall scores for the 12 M&E system components

4.4.1 Organizational structure

The study findings as shown in table 4.2 shows that the organization has an established M&E unit. While the national office has adequate and qualified staff, there was a concern that the zonal offices lack adequate qualified staff in monitoring and evaluation-this is evidence by the indicator scoring 19 percent.

Table 4.2: Status of the Organization's Structure

Indicator	Percentage Score
Existence of M&E unit	96
Adequate M&E staff in the organization	69
Adequate qualified M&E staff in zonal office	19
Job description is well defined	50
Technical assistance is provided as required	50
M&E staff are adequately motivated	58

4.4.2 Human Capacity for Monitoring and Evaluation

The study established that monitoring and evaluation staff skills have not been assessed in the last three years. Table 4.3 shows that at 85 percent scoring the M&E staff working in UNICEF KCO have the necessary skills to carry out M&E activities. Results shows that there is good supervision and on job training within the organization, the organization also has a human capacity building plan. However, only 35 percent of the staff have had their skills assessed in that duration. Similarly, human capacity for M&E system have not been developed in colleges or universities as only 19 percent have had their skills built through the same and most of the respondents 73 percent felt that M&E human capacity building is not coordinated.

Table 4.3**:** Status of Human Capacity for M&E

Indicator	Percentage Score
Skills related to M&E have been assessed in the last 3 years	35
M&E staff have skills needed to fulfill organization M&E mandate	85
Gaps of M&E related skills required by staff have been incorporated in the organization human	69

capacity development plan	
Human resource capacity for M&E system is developed through colleges and universities	19
M&E skills is being built through on job training and supervision	89
A mechanism to monitor capacity building activities is in place so as to avoid duplication of efforts	27

4.4.3 M&E Partnerships

Scores from this component as shown in Table 4.4 indicates that there is an M&E TWG that meets regularly and has defined roles and responsibility. Although there is an M&E TWG, results show that rate of participation by other agencies is low where the indicator scored (46%). Further to that, the study shows that inventory of monitoring and evaluation stakeholders is not periodically updated and the mechanism to communicate about M&E activities is quite weak and needs strengthening.

Table 4.4: Status of M&E Partnerships

Indicator	Percentage Score
There is M&E TWG coordinated by UNICEF	73
M&E TWG meets regularly	73
Others agencies and partners participate in M&E TWG	46
The TWG has well defined TOR that describes its coordination roles	58
M&E TWG makes decisions via consensus building	54
M&E stakeholder inventory is updated periodically	12
There is a mechanisms to communicate about M&E activities	35

4.4.4 M&E Plan

Table 4.5 shows that most of its indicators scored at least 62 percent an indication that there exists a good M&E plan in the UNICEF KCO. This can be attributed to the organization having a multi- sectoral M&E plan which is developed through active participation of all sections, additionally the M&E set of indicators are assessed at the time of developing the M&E plan. The organization also has sections M&E plans which are linked to the national M&E plan.

Table 4.5: Status of M&E Plan

Indicator	Percentage Score
A multi-sectoral M&E plan exists	62
Sections were actively involved in developing the multi-sectoral plan	69
M&E set of indicators were assessed during development of M&E plan	62
Section specific M&E plans exist	81
Section plan is integrated into the national M&E plan	92

4.4.5 Costed M&E Plan

Table 4.6 shows that there is a costed M&E plan in the organization and that resources are allocated to meet specific M&E activities. This is important since it ensures that human and financial resources are planned therefore progress of implementation can be monitored. At 92 percent table 4.6 reveals that the organization has a costed M&E work plan with specific time frames allocated for implementation. The organization also has section costed M&E work plans with activities that are linked to the overall M&E plan. It is also well noting that sections plan was based on the previous year activities.

Table 4.6: Status of Costed M&E Plan

Indicator	Percentage Score
There is the current year M&E plan	86
The current M&E plan has its activities costed	81
M&E activities in the work plan have specific time of implementation	92
Sections specific costed M&E work plans exist	81
Section specific costed M&E work plans are linked to the national M&E work plan	77
M&E plan have resources allocated to meet its requirements	65
The current M&E work plan was developed based on previous years activities	73
National M&E plan was developed through the participation of sections	81

4.4.6 M&E Advocacy, Communication and Culture

It is was well noting from the study that there are people within the organization who strongly advocate for M&E and that managers are supportive of M&E activities. The M&E policies and strategies are included in the organization's policy and M&E staff are part of planning and management team. As shown in Table 4.7 most of the respondents 76 percent agree that information from the M&E system is useful and that performance of the system is frequently communicated.

There exists M&E advocacy, communication and culture at UNICEF KCO. This is important in fostering the M&E agenda in their programming. This ultimately ensures that programmes are evidence based.

Table 4.7: Status of M&E Advocacy, Communication and Culture

Indicator	Percentage score
There are individuals who are championing M&E agenda in the organization	85
M&E system performance is frequently communicated	85
Information obtained from the system id useful are useful	77
Managers are supportive and have interest in M&E	77
M&E staff are part of planning and management team	69
Personnel have opportunities for career growth	77
Policies and strategies on M&E are in the organizational policy	89

4.4.7 Performance of routine programme monitoring

Overall scoring for the component was at 81.3 percent implying that the component is performing well and meeting the established standards. Table 4.8 indicates that monitoring of programmes at UNICEF KCO is done regularly and the results of the monitoring efforts are used in decision making. UNICEF KCO M&E system has a guideline that document the procedure for reporting programme monitoring and provide instruction on how data quality should be maintained. Table 4.8 shows that the office has put some mechanism in place to reconcile

variances in reports as well as standardized reporting format. During audit visits all documents have been available for auditing.

Table 4.8: Status of routine programme monitoring

Indicator	Percentage score
Guidelines exist that document the procedures for reporting programme monitoring data	92
There are guidelines that govern data quality management	85
Sections use standardized reporting forms	85
During data auditing source documents have been made available for auditing	81
Data is verified by the report officer before it is aggregated	73
There are mechanisms to reconcile inconsistencies in reports as well as provide feedback	69
Results of routine programme monitoring contribute to the formulation of indicators in the M&E plan	85

4.4.8 Surveys and Surveillance

The responses to this component as shown in Table 4.9 indicates that it was the best performing component at 88.5 percent meaning that programming in UNICEF KCO is evidence based since it uses data from surveys and surveillance to make programme decisions . Inventory of surveys that have been previously conducted is periodically updated and the results of the surveys have been used to measure indicators in the national M&E plan.

Table 4.9: Status of Surveys and Surveillance

Indicator	Percentage score
Inventory of all related surveys conducted have been updated	92
Surveys conducted have aided in measuring of indicators	92
National survey or surveillance are conducted every 2-3 years	81

4.4.9 M&E Database

Table 4.10 shows that the UNICEF M&E system has an integrated database used to capture and store data. However there is need to strengthen the structures used in transferring data between databases.

Table 4.10: Status of M&E Database

Indicator	Percentage score
There is an integrated database for capturing and storing data	65
Structures for data transmission between databases exist	54
Mechanisms to ensure that data are accurately captured are in place	62

4.4.10 Supervision and data auditing

From the results of this study as shown in Table 4.11, it is evident that the performance of this component is satisfactory having scored highly at 88.5 percent. This is enabled by the fact that guidelines and tools are in place to guide supervision on M&E. The results of supervision has also been recorded and feedback given to the supervisee. The M&E system has mechanism for regular data quality checks and data auditing results are recorded and feedback provided. In summary the component is meeting the established standard of an M&E system.

Table 4.11: Status of Supervision and data auditing

Indicator	Percentage score
Policies and tools on supervision exist	92
supervision results are recorded and feedback given to supervisees	92
Results of supervision data auditing and supervision are accessible	85
Results of data auditing results are recorded and feedback provided	85

4.4.11 Research and Evaluation

Table 4.12 shows that all the respondents agreed that the UNICEF M&E system has a committee that is responsible for coordinating research and evaluations activities, with a score of 100 percent. The study also established that an inventory of the activities is kept and updated regularly. The respondents also agreed that results of the research and evaluation are regularly disseminated and used in policy formulation and the organization allocates resources for research and evaluations activities.

Table 4.12: Status of Evaluation and Research

Indicator	Percentage
The organization has an inventory of research and evaluation activities	85
A committee exists which is responsible for coordinating research and evaluations activities	100
Findings of research and evaluation aide in policy formulation	81
Results of evaluation and research are regularly discussed and disseminated	73
Planned research and evaluation activities have financial resources allocated to conduct it	77

4.3.12 Data use and dissemination

Table 4.13 shows that data from the M&E system is being disseminated and used for formulation of policies, programme planning and implementation. This is enabled by the fact that the stakeholder information needs are assessed and information products are regularly disseminated. There is also a guideline to support data analysis, presentation and use. Information is regularly circulated to a wide variety of stakeholders who also have access to the data and information.

Table 4.13: Status of Data use and dissemination

Indicator	Percentage
Data and information needs of stakeholders have been assessed	81
Information products are frequently disseminated to the data users	77
A wide variety of stakeholders regularly receive information products	62
Sub-national and national information products satisfy stakeholder information requirements	65
Analysis, presentation and data use is supported by guidelines	73
Information products in the public domain are accessible by the stakeholders	87

CHAPTER FIVE: CONCLUSION, SUMMARY AND RECOMMENDATIONS OF THE STUDY

5.1 Introduction

The chapter presents a summary of the findings, conclusion and recommendations based on the study findings. The chapter will address whether the various objectives of the study were achieved or not. It will also give recommendations to the organization to consider in their policy and programming.

5.2 Summary of the study

The aim of the study was to assess the monitoring and evaluation system of the UNICEF Kenya Country Office to establish whether it meets the established standards as well as identify strengths and gaps of the system. To achieve the objectives, the study adopted the UNAIDS (2009a) to operationalize the assessment, where the indicators/standards for each of the 12 components were identified. Data was collected through a questionnaire and document review.

An analysis was done for all the 12 components and the assessment established that the average score for the UNICEF KCO system was at 72 percent. Although there is still not a standard measure against which to rank the overall performance of a given M&E system, the average score of the system is an indication that the performance of UNICEF KCO M&E system is good since the lowest score was at 53.8 percent and the highest score was at 88.5 percent.

In the organizational structure component, findings showed that the organization has a well-established M&E unit with adequate number of qualified M&E staff but the zonal offices lacked adequate number of skilled M&E staff.

The study further established that the organization had adequate skilled M&E staff to carry out M&E tasks. Human capacity building plan was also present, skill gap was also incorporated in the capacity building plan, nevertheless there is need to strengthen M&E capacity building in colleges and universities as well as the assessment of M&E skills periodically.

The organization's M&E system has an established TWG which comprises of all the key stakeholders who meet regularly to discuss M&E issues. That notwithstanding, the rate of participation by other agencies is low, consequently the inventory of M&E stakeholders is not periodically updated and the mechanism to communicate about M&E activities is quite weak and need strengthening.

The findings of the study show that the UNICEF KCO has a strength in M&E plans since the M&E objectives are linked to the national strategic plan. This is important so as to ensure that relevant data is collected to assist in measuring of progress in programme implementation. The organization operationalized the M&E plan by having a costed M&E work.

UNICEF KCO monitoring and evaluation system has people in the organization who strongly support M&E and that managers are supportive of M&E activities. This is an important aspect of M&E to make sure that M&E activities are being implemented in all programmes. From the study, routine programme monitoring within the organization is done regularly and the results are useful in decision making at all levels.

The assessment also established that the organization has a very good surveys and surveillance system in place having scored very highly at 88.5 percent in the analysis. The organization has also a well established M&E database although there is need to further strengthen the transferring of data from one database to another.
The UNICEF KCO M&E system has guidelines and tools for supervision and data auditing. Similarly, the study showed that the organization has a committee that is responsible for coordinating research and evaluations activities and an inventory of the activities is kept and updated regularly. The data obtained from the research and evaluation activities are normally disseminated to the stakeholders and their information needs determined and incorporated in the M&E plan.

Although all the components scored above 50 percent, the assessment identified some of the UNICEF KCO M&E system strengths to be in the following components, Research and Evaluation, Routine Programme Monitoring, Surveys and Surveillance, Supervision and Data Auditing. Some gaps were also identified in the Organizational Structure, M&E partnerships and Human Capacity for M&E components.

5.3 Conclusion

Monitoring and Evaluation is a tool to enhance sound governance by providing data to support evidence based policy decisions as well as evaluating effectiveness of programmes. Similarly the M&E system can be described as an organized set of collection, processing and dissemination activities designed to provide programmes with the information necessary to plan, implement, monitor and evaluate programme.

The objective of the study was to establish whether the UNICEF KCO M&E system meets the established standards as well as identify the strengths and gaps of the system. From the study, it is evident that the UNICEF KCO has a well-established M&E system that meets the established standards for an effective M&E system. This is evidenced by having most of the components scoring above 50 percent. This not-withstanding, there are areas that need strengthening, namely: the Organizational Structure, Human Capacity for M&E and M&E partnerships components. Most specifically, focus should be given to specific components which scored poorly within the components.

The performance of monitoring and evaluation systems for UNICEF KCO M&E system was satisfactory and can be used as a model by other organizations to develop and implement a functional M&E system. This is important in realization of planned results by programmes and interventions.

5.4 Recommendations for policy and programme

From the study, some indicators scored below 50 percent. Based on this scorings the study makes the following recommendations for consideration by UNICEF KCO to further strengthen the M&E system.

Organizational structure; The study showed that there are no adequate number of qualified M&E staff in the zonal offices. To strengthen M&E system within the zonal offices the study recommends that the organization should consider budgeting and hiring M&E staff in each of the field office so as to foster the M&E agenda in the field offices.

Human Capacity for M&E; Results of the study shows that M&E related skills of staff had not been adequately assessed in last 3 years, this is evidenced in Table 4.3 where the indicator scored 35 percent. The study, therefore, recommends that organization should periodically assess the required skill set for M&E staff, this can be done during the country programme development as well as during the mid-term review of the country programme. This is important since programmes are dynamic and it is important to be abreast with the changing needs in the development environment, hence the need to have the required capacity to undertake M&E activities.

The study also established that there is need for capacity building relative to M&E system. UNICEF is known to be among the UN agencies that champion the mainstreaming of M&E in programming. It is therefore, recommended that UNICEF KCO should consider partnering with more colleges and universities within Kenya to build M&E capacities through curriculum development. Capacity building efforts should also be well coordinated to avoid duplication.

M&E Partnerships; The study showed that the rate of participation by other agencies and partners in technical working group was quite weak, this implies that there is need for the organization to put in place mechanism that will enhance better coordination to ensure that other agencies and partners participate in the TWG.

Table 4.4 shows that the inventory of M&E stakeholders is not regularly updated as required. The study therefore, recommends that an inventory of all stakeholders be established and

periodically updated and monitored so as to ensure better coordination and sharing of information among all the stakeholders.

5.5 Recommendations for further research

The study assessed the UNICEF KCO M&E system to determine its conformity to the standard conventional M&E system. Although there have been several M&E system assessments done on in the past, there has not been any standard measure to rank the overall performance of any given M&E system. For example if the system scores 70 percent, there is no standard measure to indicate whether its performance is good, excellent, fair or poor. The study therefore recommends future studies to consider researching on standard ranking of the M&E systems as well as benchmarking.

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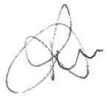
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Date: 17th May 2016

From: Roselyn Samoei
PO Box 44145-00100
Nairobi, Kenya
0721396667

To: Pirkko Heinonen
The Country Representative
UNICEF Kenya Country Office
PO Box 44145-00100
Nairobi, Kenya

Re: Request for permission to conduct a research

I am writing to request for permission to conduct a research study of UNICEF KCO. I am currently enrolled in a Master's program undertaking a master's course in Monitoring and Evaluation of development programmes at the University of Nairobi. I am in the process of writing my research project and my supervisors are Dr. Ann Khasakhala and Mr. Ben Jarabi

The proposed topic of my research study is "An assessment of the monitoring and evaluation system: A case study of UNICEF KCO." I have selected the organization as a case study due to the following reasons.
From some of the available reports UNICEF is known to have an operative M&E system that appears to be working well in providing management with the necessary strategic support in their programming. Further to that considering that I am internal to UNICEF and currently working in the Operation section, I consider studying UNICEF KCO M&E system will be beneficial for my learning in regards to the course and as well as the organization benefiting from the findings.

The objectives of the study are:
  i.   To assess which of the 12 components of an M&E system are being implemented in the organization
  ii. To have a clear and common understanding of how the M&E system works

If approval is granted, data will be collected through the administration of written questioners to the M&E staff, the programme staff, M&E community of practice and some of the identified implementing partners. The participants will voluntarily and anonymously complete the questionnaire and the results of this study will remain absolutely confidential and anonymous.

Kindly find attached a copy of the letter from the university and a transcript of the units covered.

Thank you and Regards

Appendix II: Document review guide; adopted from (UNAIDS 2009a&b)

1. Organizational Structures Functions

Key Issues to address:

• Check if there is an M&E unit at UNICEF KCO responsible for M&E functions

• Check number of full-time and/or part-time M&E posts (filled or vacant) at UNICEF KCO

• Obtain any documents that provide the policy and legislative framework for the M&E system.

2. Human Capacity for M&E

Key Issues to address:

• Check if there is a human capacity building plan; it could be in the M&E Plan, or exist as a stand-alone document

• Check if existing human capacity building plan is based on assessment results

3. M&E Partnerships

Key Issues to address:

• Check if there are M&E TWGs/Committees coordinated by UNICEF KCO

• Check if there are TORs for TWGs coordinated by the organization

• Check if there is an inventory of stakeholders for M&E and whether it is periodically updated.

4. M&E plan

Key Issues to address:

• Check if there is a National M&E Plan

• Review the list of those who participated in development of the M&E plan to see if it includes a good range of stakeholders

• Review the list of those who participated in development of these documents to see if they include a sufficient representation of stakeholders system

5. Costed, M&E Work Plan

Key Issues to address:

• Check if there is a National M&E

• Check if there is section work plan

• Check if the National M&E Work Plan is costed, has timeline for implementation, responsible partners are identified for implementation of each activity

6. Communication, Advocacy and Culture for M&E

Key Issues to address:

• Check if the policy or other similar document includes M&E policy issues and strategies

7. Routine HIV Programme Monitoring

Key Issues to address:

• Identify the main programme areas

• For each programme area, check if there are guidelines on data recording, collecting, collating and reporting

• Check whether there are national guidelines on how data quality should be maintained

8. Surveys and Surveillance

Key Issues to address:

• Check if there is an inventory of surveys conducted in by the organization

• If existing, check when the inventory was last updated

• Prepare a summary on how frequently each of the following surveys are conducted in the country:

9. M&E databases

Key Issues to address:

• Review the breadth, depth and quality of existing national and sub-national databases

10. Supportive Supervision and Data Auditing

Key Issues to address:

• Find and review all of the reports of data quality studies and data audits done

• Find organization's policy on supervision

11. Research and Evaluation

Key Issues to address:

• Check if there is an Evaluation and Research Agenda

• If yes, when was it last updated and how was it used

• Obtain any inventory of research and evaluations

12. Data Dissemination and Use

Key Issues to address:

• Obtain samples of the information products from various databases

• Obtain copy of any annual statistical report

• Review any national or programme/project-specific websites that contain M&E related information

Appendix I: 12 M&E Components Questionnaire

Assessing the Monitoring and Evaluation System of UNICEF Kenya Country Office

Thank you for agreeing to take this survey. The purpose of the survey is to assess whether the M&E system of UNICEF KCO meets the established standards of the 12 components of an M&E system. The survey will focus on the 12 components of an M&E system and will help in providing an in-depth understanding of the Monitoring and Evaluation system of UNICEF KCO.
The survey is undertaken as a research project for fulfilment of a Masters Course in Monitoring and Evaluation, UNICEF KCO being a case study for the project.

All the answers provided will be kept confidential and the survey data will be reported in a summary fashion only

Demographics, Background and Experience Information

Gender: _____ Female _____ Male

Number of years worked in UNICEF: _____

Number of years of work experience in M&E or Programme: _____

Staff Category: IP _____ NO _____ GS _____ Consultant _____

Level of management: Senior Management _____ Middle Management _____ Junior Management _____

M&E System Component 1: Organisational Structure	Kindly select your answer from the given options				
There is an M&E unit/Division/ within the organization	Yes ☐	Yes but not sufficient ☐	Yes part-time ☐	No ☐	N/A ☐
There are adequate number of M&E staff in the organization	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
There are adequate number of qualified M&E staff at the zonal offices	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
M&E responsibilities are clearly defined in the job descriptions	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Technical assistance is made available when and in the quantity needed and of the type needed	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐

| M&E staff are adequately motivated through salary, benefits and career prospects and qualified staff can be recruited and retained | Yes ☐ | No ☐ | N/A ☐ | | |

M&E System Component 2: Human Capacity for M&E	Kindly select your answer from the given options				
The M&E-related skills and competencies of the M&E staff in the organization have been assessed within the past 3 years	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	
Staff in the organization involved in M&E have the skills and competencies needed to fulfil the organization's M&E mandate	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	
The gaps in terms of the M&E-related skills and competencies required by staff responsible for M&E have been incorporated into the organization Human Capacity Building Plan	Included in office wide plan ☐	Included in the sectoral ☐	In section own plan ☐	No plan in existence ☐	N/A ☐
M&E human capacity relative to the M&E system is being built through colleges, universities and/or technical schools	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
M&E human capacity relative to M&E is being built through routine supervision and/or on-the-job training (OJT) and mentorship	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
The M&E human capacity building offered is coordinated to avoid duplication	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐

M&E System Component 3: M&E Partnerships	Kindly select your answer from the given options				
There is an M&E technical working group/committee coordinated by UNICEF	Yes ☐	No ☐	N/A ☐		

The M&E TWG/committee meets regularly	Monthly	Quarterly	Biannually	Annually	Never
	☐	☐	☐	☐	☐
Other agencies and partners actively participate in the M&E TWG/Committee	Completely	Mostly	Partly	Not at all	N/A
	☐	☐	☐	☐	☐
TOR for the M&E TWG coordinated by UNICEF clarifies the TWG's role in approving documents, providing technical leadership, and coordinating the M&E system	Completely	Mostly	Partly	Not at all	N/A
	☐	☐	☐	☐	☐
The M&E TWG/committee makes decisions via a consensus building process	Completely	Mostly	Partly	Not at all	N/A
	☐	☐	☐	☐	☐
An inventory of stakeholders for M&E is periodically updated	Yes updated (last 12 months)	Yes but not updated	No	N/A	
	☐	☐	☐	☐	
There are well developed mechanisms (e.g. feedback reports, newsletters) to communicate about M&E activities and decisions.	Completely	Mostly	Partly	Not at all	N/A
	☐	☐	☐	☐	☐

M&E System Component 4: M&E Plan	Kindly select your answer from the given options				
There is a multi-sectoral M&E plan	Yes approved	Yes draft	No	N/A	
	☐	☐	☐	☐	
Sections actively participated in development of the current multi-sectoral M&E Plan	Completely	Mostly	Partly	Not at all	N/A
	☐	☐	☐	☐	☐
During the development of the M&E plan, the national set of indicators in the M&E plan was assessed, before finalisation, against global or national indicator standards.	Completely	Mostly	Partly	Not at all	N/A
	☐	☐	☐	☐	☐
Section specific M&E plan(s) exist	Yes almost all	Yes only some	The minority	No	NA
	☐	☐	☐	☐	☐
Section specific M&E plans are linked to national M&E plan	Completely	Mostly	Partly	Not at all	N/A
	☐	☐	☐	☐	☐

M&E System Component 5: Costed M&E Work Plan	Kindly select your answer from the given options

There is an M&E work plan that includes the current year	Yes ☐	No ☐	N/A ☐		
Activities in the M&E work plan have been costed for the current year	Yes ☐	No ☐			
Activities in the M&E work plan are allocated specific time frames for implementation	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Section specific costed M&E work plans (including the current year) exist	Yes ☐	No ☐	N/A ☐		
Section specific costed M&E work plans (including the current year) is aligned with national M&E work plan	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Resources are available to meet organization specific M&E work plan requirements	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
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 ☐	No ☐	N/A ☐		
Sections participated in the development of the current year national, costed M&E work plan	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐

M&E System Component 6: Communication, Advocacy and Culture for M&E	Kindly select your answer from the given options				
There are people who strongly advocate for and support M&E within the organization	In all sections ☐	In most sections ☐	In some sections ☐	Not at all ☐	N/A ☐
Frequency with which the performance of the M&E system is communicated/reported to you	Quarterly ☐	Semi-annually ☐	Annually ☐	Not at all ☐	N/A ☐
National M&E system information products (reports, website content,	Completely	Mostly	Partly	Not at all	N/A

emails, newsletters, maps, tables, charts, etc) are useful	☐	☐	☐	☐	☐
Managers are interested and supportive of M&E activities	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
M&E personnel are part of the management and planning team	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
M&E personnel have opportunities for lateral and vertical career moves within the organization	Completely agree ☐	Somewhat agree ☐	Disagree ☐	No opinion ☐	☐
M&E policy and strategies are included in the organization policy	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐

M&E System Component 7: Routine Programme Monitoring	Kindly select your answer from the given options				
Guidelines exist that document the procedures for recording, collecting, collating and reporting programme monitoring data	Yes ☐	No ☐	N/A ☐		
Guidelines exist that provide instructions on how data quality should be maintained	Yes ☐	No ☐	N/A ☐		
Sections use standardized reporting forms	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
During previous data auditing visits, all source documents (e.g., completed forms) have been available for auditing purposes	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Officers responsible for receiving reports from lower levels, systematically verify their completeness, timeliness and identify obvious mistakes before aggregating the data.	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Mechanisms/procedures are in place to reconcile discrepancies in reports and to provide systematic feedback, including reconciliation of discrepancies in reports, etc.	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Outputs of routine program monitoring contribute to the indicators as defined in the	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐

national M&E plan					

M&E System Component 8: Surveys and Surveillance	Kindly select your answer from the given options				
An inventory of all related surveys and surveillance conducted already (and to be conducted) has been updated within the past 12 months	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Surveys and surveillance conducted to date have contributed to measuring indicators in the national M&E plan	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
National surveys or surveillance are conducted every 2-3 years ,	Yes ☐	No ☐	N/A ☐		

M&E System Component 9: M&E databases					
There is a functional integrated database for electronically capturing and storing data	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	Don't Know ☐
Structures, mechanisms procedures and time frame for transmitting, entering, extracting, merging and transferring data between databases that support the M&E system exist	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	Don't Know ☐
Quality control mechanisms are in place to ensure that data are accurately captured	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	Don't Know ☐

M&E System Component 10: Supportive Supervision and Data Auditing					
Guidelines and tools for supportive supervision on M&E exist (as standalone or as a module of more comprehensive supervision guidelines)	Yes ☐	No ☐	N/A ☐		
Supportive supervision results have been recorded and feedback provided to supervisees	Yes ☐	No ☐	N/A ☐		
Sections can access supervision and	Yes	No	N/A		

data auditing results, and follow up on recommendations made during supervision visits	☐	☐	☐		
Data auditing results have been recorded and feedback provided to those sections whose data were audited	Yes ☐	No ☐	N/A ☐		

M&E System Component 11: Research and Evaluation					
An inventory (register/database) exists of research, and evaluation activities in the organization (completed, proposed and active) and has been updated in the past 12 months	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
A mandated team/committee and procedures exists which is responsible for coordinating and approving (new) research and evaluations activities	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
The research and evaluations findings are being used in policy formulation, planning and implementation	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Research and evaluation findings are regularly disseminated and discussed	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Financial resources are earmarked/available for conducting planned research and evaluations	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐

M&E System Component 12: Data Dissemination and Use					
Stakeholder information needs have been assessed	Yes ☐	No ☐	N/A ☐		
Information products are regularly disseminated to the data providers.	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
Information products are regularly sent to a wide variety of	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐

stakeholders- other than the data providers					
National and sub national information products meet stakeholders' information needs	Completely ☐	Mostly ☐	Partly ☐	Not at all ☐	N/A ☐
There are guidelines to support the analysis, presentation and use of data	Yes ☐	No ☐	N/A ☐		
Stakeholders have access to the data/information products in the public domain (on line or central info centre)	Yes ☐	No ☐	N/A ☐		