

**EFFECTIVENESS OF STRATEGY MONITORING AND
EVALUATION AT GOVERNMENT MINISTRIES: A CASE STUDY
OF THE MINISTRY OF IMMIGRATION, KENYA**

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**A RESEARCH PROJECT SUBMITTED IN PARTIAL FULFILMENT
OF THE REQUIREMENT FOR THE AWARD OF THE DEGREE OF
MASTER OF BUSINESS ADMINISTRATION, SCHOOL OF
BUSINESS, UNIVERSITY OF NAIROBI**

NOVEMBER, 2013

DECLARATION

This Mba project is my original work and has not been presented to any university or any institution of learning for the award of certificate, diploma or degree.

.....

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This research project has been submitted with my approval as the university supervisor.

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DEDICATION

I dedicate this project to my dear husband Amos Mwangi and my Son Lee Mwangi

ACKNOWLEDGEMENT

This research project would not have been a success without the support received from various sources. I am grateful to God for his strength throughout my studies from the beginning of the course to its completion. I must admit humbly that the success of this research has been largely due to the collaborative efforts and devotion of many people to whom I owe a lot of gratitude.

I sincerely thank my supervisor Mr Jeremiah Kagwe for his valuable insights, suggestions and corrections, patience, availability and personal guidance that enabled this Research Project to take its present form. I also thank my husband Amos and my dear son Lee who have been very supportive and understanding throughout my study period. I can't forget my colleagues and classmates who have been very helpful. To all who contributed in one way or another in the realization of this project, I humbly say, THANK YOU.

God bless you all.

ABSTRACT

The internal and external changes that public sector organizations have faced have challenged the traditional management approach: the foundations of the conventional wisdom of public management are shattering. Leaders are realizing that the survival of their institutions often depends on understanding change drivers operating in their internal and external contexts, and adopting new methods to ensure that the projects they are implementing succeed. However, to be able to achieve this, the service delivery process need to be carefully defined, negotiated, and agreed upon considering involved parties' needs, wants and preferences. The objective of the study was to determine the effectiveness of strategy monitoring and evaluation at the Ministry of Immigration. The research design adopted was a case study. The study used primary data which was collected using an interview guide. Content analysis was used to analyze data. The finding of the study was that the findings of the study were that strategy monitoring and evaluation is done quarterly. Monitoring and evaluation has helped the ministry to track down performance against objectives/ targets which ensure accountability by establishing clear bench mark by which to measure performance while also allowing for early signals to detect when performance deviates. The ministry uses management by objectives for its strategy monitoring and evaluation. This was realized through development of the departments, business plans that are aligned to the overall strategic objectives of the ministry. The resources necessary to support effective monitoring and evaluation was not sufficient in terms of financial and technical resources to undertake comprehensive monitoring and evaluation across the organization. The ministry did not have the tools to use in the past monitoring and evaluation exercise, however monitoring and evaluation has helped in the coordination effort and improved service delivery through use of technology, enhancing capacity building of officers, service charters posted at strategic positions, but some staff can just resist adhering to charters. It is therefore recommended that the management of the ministry takes a leading role in the formulation and implementation of strategic objectives and short term goals being pegged on expected time frame as a way of ensuring they are met.

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CHAPTER ONE: INTRODUCTION

1.1 Background of the Study

Monitoring and Evaluation is an embedded concept and constitute part of every project. It involves a systematic and routine collecting of information from projects and programs by assessing as systematically and objectively as possible a complete or ongoing project (Owen, 2003).

While current public policy models have certainly started to reflect a shift away from traditional thinking about organizational design and public management, a systematic process for creating and sustaining improved performance that reflects changes in the environment is clearly absent (Karami, 2005). According to Patton (2008) organizations are faced by various challenges that necessitate the adoption of strategy monitoring and evaluation. This is informed by the fact that strategy monitoring and evaluation allows the firm to act quickly, take advantage of opportunities before competitors do and respond to environmental threats before significant damage is done, this will allow the organization to survive, sustain the environment hardship. However, the challenge lies with the implementation of the strategy as it needs correct data to be collected from the outset and contemporaneously.

1.1.1 Strategy Monitoring and Evaluation

Monitoring and evaluation (M&E) allows people to learn from past experiences, improve service delivery, plan and allocate resources and demonstrate results as part of accountability to stakeholders (Arenset *al.*, 2006). Depending on the context,

stakeholders can include everyone from end-users to government agencies. M&E program performance achieves this because it enables the improved management of the outputs and outcomes while encouraging the allocation of resources where it will have the greatest impact. M&E also assists in keeping projects on track, providing a basis for reassessing priorities and creating an evidence base for current and future projects (Henry, 2006). Effective monitoring and evaluation of projects is usually one of the ingredients of good project performance. It provides means of accountability, demonstrating transparency to the stakeholders and facilitates organizational learning through documenting lessons learned in the implementation of the project and incorporating the same in the subsequent project planning and implementation or through sharing experiences with other implementers (Crawford and Bryce, 2003). Monitoring and evaluating the performance of public programs and institutions can help increase their effectiveness, providing more accountability and transparency in how public monies are used, informing the budgetary process and the allocation of public resources, and assessing their effectiveness in attaining their desired objective such as improving welfare or enhancing the equality of opportunities.

Strategy monitoring and evaluation is geared towards learning from what is done and how is being done, by focusing on efficiency, effectiveness and impact (Ademala and Lanvin, 2005)). Efficiency deals with the input into the work being appropriate in terms of the output. This could be input in terms of money, time, staff, equipment and so on. Effectiveness on the other hand measures the extent to which a development programme or project achieves the specific objectives it set while impact deals with whether what was done made a difference to the problem situation it was being addressed (Jreisat,

2007). However, monitoring and evaluation are best done when there has been proper planning against which to assess progress and achievements. There are two important linkages between evaluation and monitoring. According to Ademala and Lanvin (2005) evaluators need initially to familiarize themselves with the operation of the programme and to consider the efficiency, effectiveness and efficacy contribution of programme management to concrete outputs, outcomes and impacts.

1.1.2 Organizational Effectiveness

Organizational effectiveness is the extent to which the organization can accurately perceive the external environment; acquire resources from it, and, understand and respond to any feedback from it (Cunningham, 2007). organizational effectiveness includes activities such as improved ability to innovate, improved coordination of efforts, and rapid commercialization of new products; and that external factors (overall economic growth, industry growth and profitability, level and intensity of competition, consumer preferences) as well as factors internal to the firm (cost structure, revenue, firm size, efficiency) can contribute to overall effectiveness. The external systems view is linked to internal systems, and the ability of the organization to co-ordinate relationships and maintain day to day operations, achieve its goals as well as assess the impact of decisions made (Cunningham, 2007). The determination of effectiveness may include assessments of total sales volume, costs, profit contribution, return on assets managed and residual income analysis.

Ivancevich and Matteson (2002) stressed that an effective organization is one that is able to translate quality improvement into results: more-satisfied customers, a more-involved

workforce, better-designed products, and more creative approaches to solving problems. Every institution has outputs and inputs that need to be in alignment with the organization's mission and goals. These measures relate directly to the output consumed by the organization's customers and clients. Organizational effectiveness is seen as a degree to which when compared to others in the same industry, the outcome is positive. To be effective as an organization, it is very important that members should have understood clearly their core capabilities and think like "owners" to bring the organization to the place it intends to go, to be on top among all others in the same industry. The evaluation of the strategy and leadership of these branches is very important because it can assess the branches' clear directions and see if the branch is moving towards its goals and objectives. Evaluating the organization's members trust and motivation is very essential because these are the major forces that drive any individuals to achieve desired results (Field 2002).

1.1.3 Public Service in Kenya

The public sector in Kenya is controlled by national and county governments. Its mandate is to provide services and goods to the citizens. The public sector in Kenya delivers its services through different ministries currently 18 ministries. The public sector in serving the citizens with, high standards of professional ethics, efficient, effective and economic use of resources and responsive, prompt, effective, impartial and equitable provision of services (constitution of Kenya, 2010)

The public sector industry is rapidly transforming. Many reforms take place to anticipate on several challenges. At the moment several trends can be detected within the public

sector. The origin of these trends can be found in the ongoing introduction of public management methods and tools within the public sector. The government of the future will be an effective, cost-efficient and accountable government that delivers high-quality services Deloitte Touche (2003)

According to Deloitte Touche (2003) the public services face challenges as it performs its duties which affect its effectiveness. i.e. Increasing pace of change, Technological developments, Changing perceptions, Increasing expectations, Citizen empowerment, Changing workforce and Changing environment.

1.1.4 Ministry of Immigration and Registration of Persons

Ministry of state for Immigration and Registration of Persons is a Government ministry whose mandate is mainly the issuance of Travel and Residence documents, and controls entry and exit of persons at the Border control points. It also enforces Aliens restriction Act CAP 173 and Citizenship Act CAP 170. Its operations are also guided by the Constitution of Kenya and by other acts of parliament like the Penal Code Cap 63, Criminal Procedure Code Cap 75, Evidence Act CAP 80, Extradition Act CAP 77, Privileges and Immunities Act CAP 179, Refugees Act of 2006 among many others. Various Protocols, Bilateral and International agreements influence its operations. It is also guided by administrative regulations and visa regulations issued from time to time to address emerging issues.

The functions of the ministry are not fully understood by members of public. Majority of people link it strictly with issuance of Kenya Passports and its role at the borders is often confused with that of Kenya Revenue Authority (KRA). Little is appreciated of its role in

control of foreigners' entry and stay in Kenya either temporary or long term. Against this background, it is important to briefly clarify its history and functions. In the execution of its mandate, the department is posed with various challenges in implementing its strategy such as people smuggling and trafficking, international terrorism and other forms of transnational crimes. This is with a view to keeping abreast with any emerging trends in border management. The rationale of the study is thus based on the fact that no comprehensive study has been carried out specifically in the Department on this challenge of illegal immigrants (constitution of Kenya, 2010).

1.2 Research Problem

Budget oriented planning and forecast-based planning methods are insufficient for a large organization to survive and prosper in the current operating environment. Instead, companies are becoming progressively more dependent on service providers to deliver performance at a competitive level according to stakeholders and market demands. A monitoring and evaluation strategy needs to be defined on how to implement and thereafter execute the agreed on strategy (Grundy, 2008). Effective strategy and monitoring enables managers and other stakeholders with regular feedback on project implementation and early indication of progress and problems in the achievement of planned results in order to facilitate timely adjustments of strategies in the operation of projects. According to Henry (2006), monitoring and evaluation provides unique information about the performance of government policies, programmes and project as it can identify what works, what does not work, and thereasons why. Monitoring and

evaluation also provides information about the performance of a government, of individual ministries and of agencies, managers and their staff.

The Ministry of Immigration has put in place strategies that will ensure that there is prompt service delivery and at the same time combating illegal immigrants. These strategies have however, failed to yield the desired results and this could be attributed to lack of effective strategy monitoring and evaluation (Ministry of Immigration, Official Homepage, 2012). It is about implementing capability and initiatives readily available today into a comprehensive and cohesive plan. A lot of government resources are provided to the ministry to implement its projects. Not only does best practice require that projects are monitored for control but also project stakeholders require transparency, accountability for resource use and impact, good project performance and organizational learning (to benefit future projects). An effective strategy monitoring and evaluation will enable the Ministry to know whether all the strategies and mechanisms it has put in place will enable the organization to compete effectively in the market place. Effective strategy monitoring and implementation will also enable the Ministry to identify any loopholes in its strategy implementation and correct any deviations from the planned strategies which if not corrected could render the entire cycle of strategy planning ineffective.

Several studies have been done on strategy monitoring and evaluation. Githiomi (2010) researched on the strategy monitoring and evaluation at K-REP bank and the findings were that an effective strategy monitoring and evaluation is more than a statistical task or an external obligation. Kimonyi (2010) researched on the relationship between monitoring and evaluation and the success of projects of NGO-funded projects in Kenya and established that all funded activities (projects) should be subject to review every year.

Oriko (2010) studied evaluation of strategic planning at Kenya Revenue Authority and established that evaluation looked at both the organizational and departmental level objective to ensure corrective actions are taken to avoid any deviations from the standards and that performance measures have been expressed in a manner that is as measurable as possible. Kimaiyo (2011) researched on the effectiveness of monitoring and evaluation of constituency development funds in Eldoret East Constituency and established that community participation, review of projects, use of board constitution and use of financial system were used for monitoring and evaluation. Though different studies have been done on the role of strategic monitoring and evaluation, most of them have been done in the NGO world and business oriented entities. There is a gap on the same to be extended to the public service. This gap therefore leads to the following research question; how effective is the strategic monitoring and evaluation at the Ministry of Immigration, Kenya?

1.3 Research Objectives

- i. To determine the strategic monitoring and evaluation process in the Ministry of Immigration, Kenya;
- ii. Establish the effectiveness of strategic monitoring and evaluation in the Ministry of Immigration, Kenya.

1.4 Value of the Study

The findings of the study will be of value to the managers in the Ministry as it will enable them to understand the role of strategy monitoring and evaluation and thus come up with interventions to help them improve their monitoring and evaluation. It will enable the

Ministry to plan on how to utilize the limited resources which they have as they need to be cost effective in the delivery of its services. Other Ministries will benefit from the findings of the study as they will be able to understand the benefits of strategy monitoring and evaluation and apply it in their respective organizations in order to enable them offer satisfactory services.

The findings of this study can be compared with the private sector efficiency of strategy monitoring and evaluation and draw conclusions on the effectiveness of strategy monitoring and evaluation. Future scholars may use the results of this study as a source of reference. The study will also benefit consultants who endeavor to provide assistance on successful running of organizations in developing and sustaining a competitive edge in their environment

CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

The chapter provides information from publications on topics related to the research problem. It examines what various scholars and authors have said about the concept of strategic control and monitoring. The chapter covers: theories underpinning the study, strategic monitoring and control, tools used in monitoring and control and the role of monitoring and control on organizational strategic process.

2.2 Theoretical Foundation

In Williamson's world of Transaction Cost (TC), the competition between organizations and markets can be predicted to lead to similar unhappy consequences for the former.

According to this theory, organizations exist because of their superior abilities to attenuate human opportunism through the exercise of hierarchical controls that are not accessible to markets. However, such hierarchical controls need not necessarily curtail opportunistic behavior. Indeed, they are more likely to cause precisely the opposite effect. The assumption of opportunism can become a self-fulfilling prophecy whereby opportunistic behavior will increase with sanctions and incentives imposed to curtail it, thus creating the need for even stronger and more elaborate sanctions and incentives. Caught in such a vicious cycle, “hierarchies,” as organizations are described by Williamson, would, over time, lose their initial *raison d'être*. Like the hiker, such organizations will ultimately succumb either to other organizations (which may be at an earlier phase of this self-destructive cycle or may be governed by logic different from that of TCE) or, in the long run, to the very markets from which they sprang. Organizational failure would return to markets what market failure gave to organizations.

The transaction cost theory investigates if a transaction can be undertaken at a lower cost via the market or within the hierarchy of the firm. It consist of the negotiating, monitoring, and enforcements cost which arise when a transaction between two or more parties takes place (Jones and Hill, 2008). The presence of transaction costs causes external motivations for companies to diversify. Six main factors can cause transaction difficulties: bounded rationality, opportunism, uncertainty, small numbers, information impactedness, and asset specificity (Jones and Hill, 2008). Theoretically, in environments where there are no transaction costs, diversification would be a non-value maximization strategy since the resources could be purchased via the market. However, the presence of inefficient markets causes transaction costs, which forces integration. Therefore, the

presence of transaction costs is highly dependent on the general economic environment of a country.

The Agency theory postulates that the separation of ownership and management functions lead to principal-agent conflicts as the managers may pursue their own interest at the expense of the principals (Ugurlu, 2000). This divergence of interest between managers and shareholders may create information asymmetry and result in agency costs. Several mechanisms have been suggested to be used to reduce these costs. Among others is the convergence of interest model suggested by Jensen and Meckling (1976). This model posits that as the agency costs arise as a result of the separation of ownership and control, this cost would be zero if those who owned the company also managed the company. This can be done by encouraging the managers to own the company's shares, as the interest of the internal and external shareholders are aligned.

Separation of ownership and control has long been recognized to potentially have an adverse effect on the firm value. It is believed that the incentive to pursue personal benefits increases when the manager owns a smaller portion of the firm's shares (Mat Nor and Sulong, 2007), and the incentive to invest in sub-optimal investments and misappropriation of assets declines as a manager's share ownership increases because his/her share of a firm's profit increases with ownership while benefits from perquisite consumptions are constant (Ang et al., 2000). It is claimed that when managers own the shares of the firm, they have the incentive to increase the value of the firm rather than shrink it, as they have vested interest in the company. Furthermore, as the owners are

actively engaged in day-to-day activities of the company (Niemi, 2005), there will be less information asymmetry, less conflicts and less hierarchical organization structure.

2.3 Strategy Monitoring and Evaluation Process

Strategy monitoring and evaluation techniques encompass two approaches, frameworks and data collecting methods. The different approaches to monitoring and evaluation include participatory and traditional/conventional. No matter which approach is used, there are different data collecting methods for the purposes of monitoring and evaluation but they can be divided into qualitative and quantitative (Shapiro, 2004).

Quantitative measures include, net profit, return on capital, return on investment and gross profit. Qualitative measures include, level of absenteeism of workers, job satisfaction and teamwork and cooperation of workers among others. According to Mintzberg et al (1998), strategy evaluation should initiate managerial questioning of expectations and assumptions trigger a review of objectives, targets, and values and stimulate creativity in generating alternatives and formulating criteria of evaluation. According to Kunwar and Nyandemo (2004) monitoring generates and collects data needed for evaluation. Yabs (2007) observes that strategy monitors the results of formulation and implementation activities and includes measuring individual organization performance and taking corrective measures using the above mentioned qualitative and quantitative parameters to measure the performance of strategies.

Participatory monitoring and evaluation approach involves stakeholders such as the project beneficiaries, staff, and donors and community in the design and implementation of the project monitoring and evaluation as opposed to the conventional approach (McCoy *et al.*2005). Ideally all the stakeholders in the participatory monitoring and evaluation are involved in identifying the project, the objectives and goals and identification of the indicators that will be used in monitoring and evaluation. The stakeholders are also involved in collection and analysis of the data and capturing the lessons while the role of the managers of the project is to facilitate the monitoring and evaluation process. Participatory M&E approach provides the stakeholders with an opportunity to build their own capacity to reflect and analyze their program's progress and the action that might be required to take corrective action. These are essential ingredients to helping stakeholders to establish, own and implement their own monitoring and evaluation systems.

The traditional approach to monitoring and evaluation is very prevalent whereby donors dictate how monitoring and evaluation will be done. The donors provide a preset monitoring and evaluation reporting format that the implementing agency has to adhere to. All that the implementing staff has to do is collect data that goes into filling this report for passing over to the donor ((Durham, 2008). The most emphasis is on the monitoring and evaluation needs of the donor as opposed to other stakeholders. Evaluations are usually done by an external individual at the end of the project.

2.4 Effectiveness of Strategic Monitoring and Evaluation

Establishment of an effective monitoring and evaluation of an organization should be an integral part of stabilization interventions. This activity is essential to track and evaluate the outcomes of activities, to maximize positive impacts, and to minimize unintended consequences (Gupta and Thomson, 2006). This is more so in an unstable environments where the business characterized by a lack of information, which can lead to plans quickly going off track. Moreover, effective monitoring enables real-time evaluation during an intervention, and allows plans to be adapted accordingly. This helps to ensure that stabilization is achieved for the desired impact and that unintended consequences are minimized. In the longer term, evaluation is also important in supporting accountability and in identifying lessons that can help improve future efforts at strategic, operational and tactical levels (Hatry, 2009). For an effective monitoring to be realized, sufficient resources must be allocated to the monitoring and evaluation process, though the framework must also be designed to be proportionate to the plan and resources available. In addition, appropriate measures of effect (both quantitative and qualitative) must be identified at the planning stage, and modified as necessary, to enable real-time evaluation of outcomes and impact.

An effective monitoring and evaluation is a powerful project management tool that can be used to improve the way governments and organizations achieve results. Governments need financial, human resource, accountability systems and good performance feedback system so that more-satisfied customers, a more-involved workforce, better-designed products, and more creative approaches to solving problems can be generated by the

government unit and this can be realized if there is an effective M & E. An effective monitoring and control process will help an organization to respond to stakeholders growing demand for results and also be able to compete effectively in a competitive business environment. According to Klastorin (2003) monitoring and evaluation are an integral part of each phase/step of the project life cycle. There must be measurable goals when the project is defined and measurable milestone in the project plan. Milosevic *et al.*, (2003) alludes that few organizations have integrated M&E programmes, and many invest time and resources in collecting data that are never used to steer the organization to realization of its objectives.. Monitoring of single variables or tracking of implementation through mechanisms such as manual reports, financial accounting and project reviews, are important but cannot alone show whether the organization objectives are being met.

According to Yabs (2007) strategy evaluation monitors the results of formulation and implementation activities and includes measuring individual organization performance and taking corrective action when necessary. Every institution has outputs and inputs that need to be in alignment with the organization's mission and goals and the effectiveness of an organization will be measured by the output consumed by the organization's customers and clients. Kunwar and Nyandemo (2004) argues that evaluation is a process which attempts to determine as systematically and objectively as possible the relevant effectiveness, efficiency and impact of activities in light of specific objectives. Monitoring generates and collect data needed for evaluation. Monitoring will therefore help in identifying any short falls in the achievement of objectives and therefore helping in coming up with measures to eliminate the shortcomings in good time.

In accountability orientated M&E, high levels of scrutiny are expected, and judgement generally made against clear standards and norms that have been established for a range of performance areas. This would include the proper management of budgets, personnel, legal and regulatory compliance with process and procedures, transformational and ethical considerations. Deviation from any of the standards invites censure, and the ranking of departments across these indicators and making such findings public may take place. In this context M&E is seen as supporting a governance function, which Cook (2007:14) points out “encompasses the entire management, operating systems and culture of an institution”. It also links to government if supported by a strong government auditing system. Improving governmental management is yet another reason evaluation is employed in government (Davies *et al*, 2006: 165).

Apart from M&E serving the very necessary purpose of accountability, it also is meant to promote the “learning organization”. This would be at the level of M&E use, and comes about when results are presented. The assumption is that organizations would become more open and self-reflective when faced with evaluative information, but it is not necessarily the case as operationalizing learning is not easy, given the complex array of protocols and management culture which must be negotiated (Preskill and Russ-Eft, 2005). Thus, by carrying out M&E, staff members will be able to observe and reflect upon results on the spot, and to plan and act upon them while becoming participatory facilitators. This form of learning contributes to the ability of staff members and managers to handle resistance to M&E in a constructive manner. While implementing M&E, they learn to identify for themselves and with other stakeholders those factors that might have influenced the project. For instance, they have the chance to observe the

adverse effects, reflect upon them, and then act accordingly. Likewise, they will be able to observe positive outcomes of the intervention and act upon their enhancement. Both these responses can generate a motivating effect on both projects steering and learning. Utilizing evaluation in organization's is, however, not easy, and influenced by several factors: contextual (political), technical (methodological) and bureaucratic (psychological). These factors overlap, but what is clear is that unless "all the elements are lined up, organizational learning is difficult" (Mayne, 2000: 29). Tuckerman (2007) assesses this grouping in terms of how M&E contributes to learning and reflection, and notes that in this mode M&E is seen as but one tool that supports management by improving the quality of information provided for decision-making.

2.5 Strategy Monitoring and Evaluation Approaches

In strategy monitoring and evaluation, it is important to use the right tools in order to achieve the desired results. It is therefore far more important to know how to select and use the right tool to reach the set goals than to know about many different tools (Andersen, 1999). There are a number of tools used in strategy monitoring and evaluation, key among them include, use of Balanced Scorecard, Business Process Re-Engineering (BPR), Total Quality Management (TQM), Management By Objectives (MBO) and Benchmarking.

Balanced Scorecard is a technique used to measure business performance at departmental or corporate level. The scorecard use financial, customer, business processes and innovation perspectives in assessing organizational performance. The balanced scorecard

translates a business unit mission and strategy into tangible objective measures. The measures represent a balance between external measures for stakeholders and consumers and internal measures of critical business processes, innovation, learning and growth.

BPR aims to achieve step improvements in performance by redesigning the processes through which an organization operates, maximizing their value added content and minimizing everything else (Peppard & Rowland, 1993). Hammer and Champy (1993) defined re-engineering as the fundamental rethinking and radical redesign of business process to achieve dramatic improvements in critical contemporary measures of performance such as quality, cost, service and speed. According to Hammer (1990) BPR approach involves discontinuous thinking since it requires recognizing, challenging, and breakthrough away from, the rules and assumptions that underlie the existing work operations of an organization.

Total Quality Management (TQM) is an approach that seeks to improve quality and performance which will meet or exceed customer expectations. TQM involves an unending process for improvement and setting and achieving of ever higher goals. Management has the power to change systems which are responsible for 85% of all defects of the system. It means that an organization cannot rest after any achievement. The organization will appreciate that customer needs and expectations are dynamic and must be monitored continuously. No matter how well things are going, the organization can do better (Plunkett, Attner and Allen, 2008).

MBO involves the conversion of organization's objectives into personal objectives. It assumes that establishing personal objectives elicits employee commitment, which leads

to improved performance (Drucker, 1954). MBO involves setting objectives from top to bottom. This approach creates an integrated hierarchy of objectives throughout the entire organization. The objectives are set based on key results areas which should be monitored in order to determine whether the organization is doing good, average or poor. The performance of each employee will thereafter be evaluated based of the individual objectives set. Benchmarking is comparing products, processes, methods and services with the best practices found in other organizations and adapting or adopting them as quality improvement projects. According to Reider (2000) benchmarking can be defined as a process for analyzing internal operations and activities to identify areas for positive improvement in a program of continuous improvement. Benchmarking is the practice of comparing the performance of an operation with that so similar operation in another location (Barnes, 2008). This helps to develop a performance standard that can be used as a target for performance improvement.

CHAPTER THREE: RESEARCH METHODOLOGY

3.1 Introduction

This chapter presents the research methodology that will be applied in carrying out the study. It describes the proposed research design, data collection and the techniques for data analysis that was be used.

3.2 Research Design

The research design was a case study. The study used a case study as a strategy research in order to understand or explain the phenomena, which is the role of strategy monitoring and evaluation at the ministry of immigration, by placing them in their wider context, which is the specific company within the oil industry. The reason for this choice is based on the knowledge that case studies are the most appropriate for examining the processes by which events unfold, as well as exploring causal relationships and also they provide a holistic understanding of the phenomena (Kitay and Callus, 1998). Also, According to Cooper and Schindler (2005), case studies place more emphasis on a full contextual analysis of fewer events or conditions and their interrelations.

A case study is an in-depth study of a particular research problem rather than a sweeping statistical survey as it narrows down a very broad field of research into one or a few easily researchable examples. It allows for testing whether a specific theory and model actually applies to phenomena in the real world. It is a useful design when not much is known about a phenomenon as it allows a researcher to use one or more of the several research methods depending on the circumstances.

3.3 Population and Sampling

The study was a case study and therefore there was no population or the sample. An interview guide was used to ask questions from the interviewee.

3.4 Data Collection

The study used primary data which was collected using an interview guide. An interview guide is a set of questions that the interviewer asks when interviewing.

The respondents interviewed were those involved with formulation, implementation, monitoring and evaluation of the company's strategies who are the senior managers. These are the Assistant Directors who are in charge of different sections i.e Accounting and Finance, Administration, Procurement, Human resource Information Communication Technology and Statistics.

The respondents are involved involved with formulation, implementation, monitoring and evaluation of the company's strategies. They may provide access to more significant and useful secondary data as documents, and other valuable information.

The interviews was semi-structured so that some questions can be omitted or added if some new and useful information come up through the whole procedure, which was "face to face" interviews. The order of the questions may also be varied depending on the flow of the conversation (Saunders *et al.*, 2000).

3.5 Data Analysis

Content analysis technique was used to generate and categorize items for comparison with the interview results from the managers. Content analysis is the systematic qualitative description of the composition of the objects or materials of the study (Hsieh and Shannon, 2005). It is a technique of making inferences by systematically and objectively identifying specific characteristics of messages and using the same to relate to trends. It involves observation and detailed description of objects, items or things that comprise the object of study. The data obtained from the interview guide was analyzed qualitatively. Qualitative data analysis makes general statements on how categories or themes of data are related. The qualitative analysis was adopted in this study because the researcher was able to describe, interpret and at the same time criticize the subject matter of the research since it would have been difficult to do so numerically. The qualitative analysis was done using content analysis.

CHAPTER FOUR: DATA ANALYSIS, RESULTS AND DISCUSSION

4.1 Introduction

The research objective was to establish the effectiveness of strategy monitoring and evaluation in the Ministry of Immigration. This chapter presents the analysis, findings and discussion.

4.2 Demographic Information

This demographic information covered the position held by the respondents, duration working in the ministry, duration the respondents have been holding the current position and the highest education attained. The respondents comprised of senior officers in the ministry. In total, the researcher interviewed all the five targeted respondents who were assistant director finance, civil registrar two, registrar deployed in administration, civil registrar and the principal civil registrar. Incorporating the senior officers from different sections in the study ensured that all the sections are represented. The senior officers champion strategy monitoring in their sections as they drive the shared vision of the

ministry and the organization marshals all resources towards achievement of a common goal.

The respondents indicated that they have worked in ministry for a period ranging from five years to twenty two years with majority having worked in the ministry for more than ten years. On the duration holding the current position the respondents indicated that they have been holding the current position for a period ranging from one year to three years and thus having worked in the ministry in the current position for such a period, the respondents have firsthand experience on effectiveness of strategy monitoring and evaluation. The level of education that the respondents have attained will enable the researcher to gauge the extent to which the results will achieve the desired objective and the results show that all the respondents interviewed had university degrees with two of them having a Master's degree as well.

4.2.1 Strategic Monitoring and Evaluation Process in the Ministry

The respondents indicated that the ministry has reviewed its strategic plan in order to come up with a new strategy following the expiry of the previous strategy which covered 2007 to 2012. The ministry also had to take into consideration the all the stakeholders in order to ensure that the strategy achieve the desired objectives. They indicated that the ministry strategic plans are then broken down into yearly objectives within the five year period and the senior management prioritizes objectives based on the objectives which must be achieved.

Respondents agreed that monitoring and evaluation increase their effectiveness, providing more accountability and transparency in how public monies are used, in-

forming the budgetary process and the allocation of public resources, and assessing their effectiveness in attaining their desired objective such as improving welfare or enhancing the equality of opportunities. The respondents indicated that the ministry undertakes monitoring and evaluation on quarterly basis through review of the implementation status of the developmental plans. The reports include the progress made against the plan, causes of deviation from the plan and areas of difficulties and alternative solutions that may adversely affect implementation. This forms the primary strategy evaluation within the ministry.

The respondents indicated that the ministry has trained the employees on strategy monitoring and control through the various strategic planning and leadership development sessions, conducted by the ministry (in house training), through management retreat and also external trainings.

All organizations, private or public connect employees to execute certain activities in order to attain goals and objectives. Although well-thought-out strategies provide an organization with the required workforce, additional training is normally necessary to provide employees with job-specific skills which enable the employees to undertake the required task accordingly. The respondents noted that monitoring and evaluation has been critical to the ministry as it help in tracking performance against objectives/ targets which ensure accountability by establishing clear bench mark by which to measure performance while also allowing for early signals to detect when performance deviates.

On the question on whether the ministry reward employees the respondents noted that the ministry does not reward employees fully but commendation letters are written to high achievers and therefore more needs to be done by the ministry to reward employees particularly on a project by project basis. Reward is the monetary, non-monetary, and psychological payments that an organization provides for its employees. A reward, tangible or intangible, is presented after the occurrence of an action with the intent to cause the behaviour to occur again. This is done by associating positive meaning to the behaviour and it represents what the individuals want to obtain from work or what they perceive.

Deviation from the intended objectives in the ministry could be as a result of internal factors which are within the control of the organization. The respondents indicated that in case of deviations, if the causes are internal factors then the management team discusses ways on how to improve on the issues identified and if the deviations are external factors which the ministry has no control over, then the targets of the next year can be lowered or raised based on actual performance of the ministry.

Budget is one of the fundamental decision-making processes in an organization as it influences the performance of an organization. The respondents agreed that the ministry has not been achieving its objectives/strategies on time and within budget due to limited budget and the allocated funds being disbursed late like the first quarter funds being disbursed in September instead of July therefore activities for that quarter are never done at all. At the same time as a ministry, consensus building is often a prerequisite for major initiatives to ensure public interest is seen to be taken on board which often can result in

delays of execution and the business environment being so dynamic that it becomes difficult to get the desired level. Strategy can be best understood if it is viewed as an element of an organization that includes proper resource allocation. Resource allocation is important and equitable resource allocation and sharing is an important activity that enhances strategy execution. The resources include financial, physical, human, technological and good will resource. The respondents indicated that the resources which was needed to support monitoring and evaluation in the ministry was not adequate and this would hamper effective implementation of the ministry monitoring and evaluation.

To ensure that the ministry achieve its intended objectives, officers need to be able to measure what they are trying to achieve. They need to know the status of and potential threats to the achievement of the desired objectives to make informed decisions about where to focus their strategic efforts. In strategy monitoring and evaluation, it is important to use the right tools in order to achieve the desired results. It is therefore far more important to know how to select and use the right tool to reach the set goals than to know about many different. Strategy monitoring and evaluation at the ministry was presented in form of reports. The ministry uses management by objectives for its strategy monitoring and evaluation. This is realized through development of the departments, business plans that are aligned to the overall strategic objectives of the ministry as outlined in the strategic plan. Departmental plans then form the basis of individual target. The respondents indicated that the ministry did not have the tools to use in the past monitoring and evaluation exercise, however the implementation of balanced score card was indicated as being underway, however through cascading of ministry objectives/

targets to employees is employed as a form of management by objectives based on key areas.

4.2.2 Effectiveness of Strategy Monitoring and Evaluation

The effectiveness of strategy monitoring and evaluation indicates the extent to which the ministry achieves the specific objectives it sets. It is essential to track and evaluate the outcomes of activities, to maximize positive impacts, and to minimize unintended consequences. The respondents were in agreement that the monitoring and evaluation in the ministry has helped in the coordination effort as it has improved staff performance and accountability and effective service delivery.

The respondents said that the use of monitoring and evaluation by the ministry has resulted in improved service delivery as it has led to more use of technology, enhancing capacity building of officers, service charters posted at strategic positions, but some staff can just resist adhering charters.

The employee's perception needs to be taken into consideration by the management in order to formulate of policies. The respondents unanimously agreed that the monitoring and evaluation has changed the perception of the employees by supporting governments in managing public policies and programmes, including government service delivery and the management of staff. Effective monitoring and evaluation of projects is usually one of the ingredients of good project performance as it provides a means of accountability, demonstrating transparency to the stakeholders and facilitates organizational learning.

Respondents suggested that, to improve monitoring and evaluation in the ministry, the ministry needs to establish monitoring and evaluation units in all departments to

specifically monitor performance regularly, all staff at all levels should be involved right from inception to implementation, develop monitoring and evaluation unit that is functioning and train staff, allocation of enough resources and employing more staff, sensitization of all staff in the ministry on monitoring and evaluation and developing personal monitoring and evaluation which translates to the organization, increase usage of technology like performance dashboards for real time monitoring and evaluation, more capacity building on monitoring and evaluation, more collaboration and engagement across department to ensure synergized approach to undertaking strategic objectives, monitoring tools should be made simpler, embrace strategic planning tools like total quality management, balance score card and align annual budgets to the overall strategic plan.

The organization stakeholders are critical to the success of the organization for a M&E system to be successful - and given the diverse stakes in M&E that the different stakeholders involved in a project or program may have – it is important to clearly identify, prior to starting developing a M&E system, each stakeholder's stakes as well as the roles resulting from them. The respondents noted that the ministry's monitoring and evaluation helped to respond to stakeholders for results in the informed public environment by involving them, through feedback mechanisms at departmental level to respond to customer needs and by encompassing use of IT in all its operations and avail forms online, track your application and also encourage openness and review of old archaic acts that govern operation of the departments.

4.3 Results

The strategy adopted enables the ministry to realize its objectives over a long period of time through its configuration of resources within a changing environment and to fulfill stakeholder expectations. The ministry also had to take into consideration the all the stakeholders which ensured that the strategy achieve the desired objectives.

Monitoring and evaluating the performance of public programs and institutions has helped increase their effectiveness, providing more accountability and transparency in how public monies are used, informing the budgetary process and the allocation of public resources, and assessing their effectiveness in attaining their desired objective such as improving welfare or enhancing the equality of opportunities.

Monitoring and evaluation strategy are not only seen as stimuli for policy change but are also perceived as symbols of acceptability, indicating transparency and administrative willingness to learn and, thus, being central to the legitimization of state and non-state actors. The approaches used by the ministry were found to be ineffective and these affects the ministry accountability as the other stakeholders and government regulations that require accountability when resources spent on monitoring and evaluation divert scarce resources from critical management priorities. Monitoring and Evaluation is a powerful project management tool that the ministry has used to improve the way governments and organizations achieve results.

As the ministry has not been achieving its objectives/strategies on time and within budget due to limited budget and the allocated funds being disbursed late like the first quarter

funds being disbursed in September instead of July therefore activities for that quarter are never done at all. At the same time as a ministry, consensus building is often a prerequisite for major initiatives to ensure public interest is seen to be taken on board which often can result in delays of execution and the business environment being so dynamic that it becomes difficult to get the desired level.

Effective implementation of the ministry monitoring and evaluation was hampered because of the inadequate resources.

Effective monitoring has enabled real-time evaluation during an intervention, and allowed plans to be adapted accordingly. This helps to ensure that stabilization is achieving the desired impact, and that unintended consequences are minimized. Achieving the desired ends set out in a ministry plan may not be enough in itself: it is also essential to minimize adverse impacts created by the means, particularly where these undermine longer-term goals, and to ensure that tactical successes do actually lead to the achievement of strategic goals.

Monitoring and evaluation by the ministry has resulted in improved service delivery as it has led to more use of technology, enhancing capacity building of officers, service charters posted at strategic positions, but some staff can just resist adhering charters.

Monitoring and evaluation has changed the perception of the employees by supporting governments in managing public policies and programmes, including government service delivery and the management of staff.

Monitoring and evaluation helped to respond to stakeholders for results in the informed public environment by involving them, through feedback mechanisms at departmental level to respond to customer needs and by encompassing use of IT in all its operations and avail forms online, track your application and also encourage openness and review of old archaic acts that govern operation of the departments.

4.4 Discussion

The findings has shown that in the ministry, monitoring and evaluation plays a critical role in not only improving the effectiveness of service delivery, by supporting management, but also improving transparency and accountability. Monitoring and evaluating the performance of public programs and institutions can help increase their effectiveness, providing more accountability and transparency in how public monies are used, informing the budgetary process and the allocation of public resources, and assessing their effectiveness in attaining their desired objective such as improving welfare or enhancing the equality of opportunities. The respondents indicated that the ministry undertake monitoring and evaluation on quarterly basis. The results are consistent with Arens *et al.*, (2006) findings that monitoring and evaluation allows people to learn from past experiences, improve service delivery, plan and allocate resources and demonstrate results as part of accountability to stakeholders.

The success of monitoring and evaluation needs the development, sharing of goals and marshaling of all resources towards the achievement of the common goal. The findings show that monitoring and evaluation assisted the ministry in accountability to both the national government and the donors. The results are in line with Henry (2006) results that

monitoring and evaluation provides unique information about the performance of government policies, programmes and project as it can identify what works, what does not work, and the reasons why. Monitoring and evaluation also provides information about the performance of a government, of individual ministries and of agencies, managers and their staff.

Effective monitoring and evaluation is one of the ingredients of good project performance. It provides means of accountability, demonstrating transparency to the stakeholders and facilitates organizational learning through documenting lessons learned in the implementation of the activities and incorporating the same in the subsequent planning and implementation or through sharing experiences with other implementers. Resource allocation is important and equitable resource allocation and sharing is an important activity that enhances strategy execution. It was established that the resources which was needed to support monitoring and evaluation in the ministry was not adequate and this would hamper effective implementation of the ministry monitoring and evaluation. Hatry (2009) noted that sufficient resources must be allocated to monitoring and evaluation, though the framework must also be designed to be proportionate to the plan and resources available. Successful monitoring and evaluation is due to the design, development, acquisition, and implementation of resources that provide what is needed to give effect to the institution's new strategies (McCoy et al., 2005). The ministry has not been achieving its objectives/strategies on time and within budget due to limited budget and the allocated funds being disbursed late. The budget should provide a clear and adequate provision for monitoring and evaluation activities. A monitoring and evaluation budget can be clearly delineated within the overall project budget to give the monitoring

and evaluation function the due recognition it plays in project management (McCoy *et al.*, 2005).

Involvement of all stakeholders (beneficiaries, implementation staff and donors) in the monitoring and evaluation process of the project is very important. Participatory approach to monitoring and evaluation is viewed as an empowerment tool for the staff and other stakeholders who in most cases are not consulted in this function. Involvement of the beneficiaries in monitoring and evaluation gives them a sense of ownership and contributes to long term sustainability. The ideal way is the involvement of all stakeholders including the donors, community, beneficiaries, and people involved in the planning and implementation of project in all stages monitoring and evaluation throughout the duration of the project (Bradley *et al.*, 2002).

CHAPTER FIVE: SUMMARY, CONCLUSION AND

RECOMMENDATIONS

5.1 Introduction

The purpose of this study was to establish the effectiveness of strategy monitoring and evaluation at the government ministries. The chapter presents the summary of the study, conclusion and recommendations.

5.2 Summary

The study established that the respondents have worked for more than five years and therefore they understand the extent to which the ministry uses monitoring and evaluation. The respondents have worked in the current position for varying period of time and thus they have firsthand experience on effectiveness of strategy monitoring and evaluation. The study found out that all the respondents have university degree and this would enable them to give a clear picture of how the ministry undertakes monitoring and evaluation. The strategic life cycle of the ministry covers a period of five years, however following the expiry of the previous strategic plan the ministry come up with another plan. The study found out that the ministry carries out strategy monitoring and evaluation on quarterly basis through review of the implementation status of the developmental plans. The reports include the progress made against the plan, causes of deviation from the plan and areas of difficulties and alternative solutions that may adversely affect implementation. This forms the primary strategy evaluation within the ministry.

The study found out that the ministry has trained the employees on strategy monitoring through the various strategic planning and leadership development sessions, conducted by the ministry (in house training), through management retreat and also external trainings. This has helped the ministry in tracking performance against objectives/ targets which ensure accountability by establishing clear bench mark by which to measure performance while also allowing for early signals to detect when performance deviates. The results show that the ministry does not reward employees fully but commendation letters are written to high achievers. The ministry has not been achieving its objectives/strategies on time and within budget due to limited budget and the allocated funds being disbursed late. The resources necessary to support effective monitoring and evaluation was not sufficient as the ministry is not adequately equipped in terms of financial and technical resources to undertake comprehensive monitoring and evaluation across the organization.

The study established that the ministry was using management by objectives for its strategy monitoring and evaluation. This was realized through development of the departments, work plans that are aligned to the overall strategic objectives of the ministry. Strategy monitoring and evaluation at the ministry was presented in form of reports. The respondents indicated that the ministry did not have the tools to use in the past monitoring and evaluation exercise, however the implementation of balanced score card was indicated as being underway. The approaches used by the ministry were found to be ineffective and these affect the ministry accountability as the other partners and donors and government regulations that require accountability.

The study found out that monitoring and evaluation in the ministry has helped in the coordination effort and improved service delivery through use of technology, enhancing capacity building of officers, service charters posted at strategic positions, but some staff can just resist adhering to charters. Monitoring and evaluation has changed the perception of the employees by supporting governments in managing public policies and programmes, including government service delivery and the management of staff. The ministry involves all its stakeholders in monitoring and evaluation.

5.3 Conclusion

Effective monitoring and evaluation would enable the ministry to achieve its strategic plan. The ministry adopted monitoring and evaluation in order to ensure that they strategic plans which they have put in place was achieved. The success of monitoring and evaluation in the ministry was found to be dependent on the involvement and availability of sufficient staff. The study findings showed that the project implemented by the ministry were not effectively monitored and evaluated. The study also unearthed the insufficient or late funding of the projects in the ministry.

The strategic plans designed and adopted by the ministry will in the long run determine the ministry progress toward a strategy, learning from evaluation results, and adapting accordingly, constitute the necessary feedback loop that closes the cycle of strategic management of sustainability strategies. Monitoring and evaluation enabled the ministry to keep track of the implementation schedule by focusing on the efficiency of resource use towards generating desired outputs and it improves efficiency and effectiveness of a project or organization. Strategy monitoring helps to keep strategy implementation on

track, and let management know when things are going wrong. If done properly, it is an invaluable tool for good management, and it provides a useful base for evaluation.

5.4 Recommendation

The study found out that monitoring and evaluation in the ministry encountered deviations in the process of implementation and it is therefore recommended that the management of the ministry takes a leading role in the formulation and implementation of strategic objectives and short term goals being pegged on expected time frame as a way of ensuring they are met.

The study established that the ministry did not have strategy monitoring and evaluation tools and since monitoring and evaluation is information based therefore the accuracy of the review process is based on accuracy of monitoring process. It is recommended that the ministry invest in information technology in order to improve on the whole process of strategy monitoring and evaluation. It was found out that the ministry involves stakeholders in monitoring and evaluation and it is recommended that the ministry involves all the stakeholders at all times so that there are concerted efforts of all towards the achievement of the set plans. An active involvement of the stakeholders will mitigate the challenges of collecting monitoring and evaluation data from them. It has got an added advantage of demonstrating accountability to them and also ensuring sustainability of the effective service delivery and customer satisfactory.

5.5 Limitations of the study

The study was limited by some interviewee who felt that some information asked were confidential and therefore they could not disclose. This challenge was handled through public relation and the use of the letter of introduction from the university to support the research that was done.

Due to time constraint and the busy schedule of the respondents who were the senior officers, the study focused only on very specific questions which were well understood, clear and easy to answer.

5.6 Recommendations for further research

The study confined itself to ministry of Immigration. It is therefore recommended that the study is replicated in other ministries and the results be compared to establish strategy monitoring and evaluation. Since monitoring and evaluating should be integrated with project planning and design. Further research should try investigating the project design and planning practices of the ministries.

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APPENDICES

APPENDIX 1: INTERVIEW GUIDE

The interview guide will seek to achieve the following objective;

- a. To determine the strategic monitoring and evaluation process in the Ministry of Immigration, Kenya;

- b. Establish the effectiveness of strategic monitoring and evaluation in the Ministry of Immigration, Kenya.

Part A: Background Information on the interviewees

1. What current position do you hold?
2. How many years have you worked in the ministry?
3. For how long have you been holding the current position?
4. What is the highest level of education you have attained?

Part B: Strategic Monitoring and Evaluation Process in the Ministry

1. Has the ministry strategic plan been reviewed in last five years? What necessitated the changes?
2. Does the ministry carry out strategy monitoring and evaluation as one of the strategic process? If yes, how often is the same exercise undertaken?
3. Have you been trained on strategy monitoring and evaluation? If yes, do you consider the staff handling the same task equipped enough for the task?
4. Has monitoring and evaluation ensured accountability in the ministry by allowing it to evaluate performance and to respond to the results accordingly?
5. Does the ministry reward employees depending on the results of these reviews?
6. How do you deal with corrective action when deviations are detected?
7. In your opinion, has the ministry been achieving its set objectives/ strategies on time and within budget? Explain.

8. In your opinion, were the available resources (physical, financial, technological and human) adequate for strategy monitoring and evaluation? Please explain.
9. What approaches and tools does the ministry use in the strategy monitoring and evaluation exercise?
10. How effective is the approach used by the organization to aid the strategy monitoring of projects they undertake?

C: Effectiveness of Strategy Monitoring and Evaluation

11. Has the ministry monitoring and evaluation exercise increased its ability to improve coordination of efforts, and rapid delivery of services to its customers? Please expound.
12. How as the ministry's' monitoring and evaluation process translated into quality improvement in its services and a more satisfied customers? Please expound.
13. How has the ministry's' monitoring and evaluation process changed the employees perception on understanding clearly their core capabilities and delivery of services?
14. What suggestions do you propose to improve the strategy monitoring and evaluation in the ministry?
15. How has the ministry's M & E helped to respond to stakeholders growing demands for results in the informed business environment?

