FACTORS INFLUENCING APPLICATION OF RESULTS BASED MONITORING AND EVALUATION SYSTEM BY NURTURE AFRICA

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LIST OF ACRONYMS

CBO	Community Based Organizations
FAO	Food and Agriculture Organization
IFAD	International Fund for Agricultural Development
IREC	Institutional Research and Ethics Committee
MalERA	Malaria Eradication and Research Agenda
M&E	Monitoring and Evaluation
NGOs	Non-Governmental Organizations
OECD	Organization for Economic Corporation and Development
PELUM	Participatory Ecological Land Use Management
PRA	Participatory Rural Appraisal
RBM	Results Based Management
RBME	Result Based Monitoring and Evaluation
PME	Participatory Monitoring and Evaluation
SPSS	Statistical Package for Social Sciences
TIR	Third International Roundtable
TME	Traditional Monitoring and Evaluation
UNFPA	United Nations Population Fund
UNDP	United Nations Development Programme
USAID	United States Agency for International Development

CHAPTER ONE

INTRODUCTION

1.1 Introduction

The study seeks to examine factors influencing application of Results based Monitoring and Evaluation by Nurture Africa. Factors in this case will be the independent variables while Results based Monitoring and Evaluation will be the dependent variable. The independent variables in this study will be measured in form of Management support, organization capacity and Baseline survey. The dependent variables on the other hand will be measured inform of the change that has occurred as a result of the intervention and long term planned or unplanned change general welfare. The study will cover the background, problem statement, purpose, objectives, research questions, hypothesis, conceptual framework, justification of the study, significance of the study, scope of the study as well as operational definitions.

1.2 Background to the Study

1.2.1 Historical background

The formal recognition and use of the monitoring and evaluation can be traced back before 1990s when the development organizations used it as a tool to report on the work done against the funds provided (Coninck *et al*, 2008). This kind of monitoring and evaluation was basically focused on project activities and outputs, and thus concentrated on monitoring project implementation by tracking resources and planned activities. This is what is commonly known as Traditional Monitoring and Evaluation (TME*)*. Its main monitoring tools were work plans and budget (PELUM Uganda, 2008).

In 1990s there was a movement in development that advocated for use of participatory approaches in community development which emphasized on participation of the target beneficiaries of the projects. This shift in development demanded the participation of all stakeholders interested or affected by the projects including the target beneficiaries. It is during this time that Participatory Rural Appraisal (PRA) was used as a tool to engage communities in project implementation. Monitoring and evaluation being the key component of the project, it had to be carried out in a participatory manner leading to a practice commonly known as Participatory Monitoring and Evaluation (PME) meaning that all stakeholders had to be involved in monitoring and evaluation processes. These stakeholders included target beneficiaries, service providers, donors and governments (Mulwa, 2011; Coninck *et al*, 2008). Still development organizations could not report on the changes they made in target beneficiaries' lives because PME focused on showing donors the participation of the stakeholders in project implementation.

In the Paris Declaration of 2005, donor countries and organizations registered their concerns regarding development practices in the developing countries. They complained that much of the financial and technical investment had been done in the developing world with little change. One of the causes the donors identified was under-reporting of project impact on people's lives. The donors resolved that development organizations should use result-based management approach to implement projects. The approach focused on desired results and regular progress report. Moreover, the developmental organizations were asked to establish RBME system as a condition before funding. The system would support monitoring progress against a number of indicators of their sector development projects and show the link between project implementation and desired results. This led to an improvement of the TME and PME to monitoring and evaluation now known as Result Based Monitoring and Evaluation (RBME) (Kusek, 2004).

RBME being practiced, albeit silently by some organizations that had adopted result-based management of projects in early 2000s. Result based management is interested in achieving the desired impact of the projects. The results include long term (impact) and intermediate (outcomes). The RBME not only monitors desired results but also project activities and financial resources because it is embedded on showing the inter-linkage between project activities, finances and results (UNDP, 2004).

One common feature of all the types of monitoring and evaluation is the collection of information and reporting on the progress made in project implementation. Traditional monitoring and evaluation collects information and reports on project activities and outputs while participatory monitoring and evaluation is more concerned with collecting and reporting the participation of all stakeholders. The information generated by these two types of monitoring and evaluation do not demonstrate value for donors' funds being invested to benefit poor communities. The RBME was therefore adopted to ensure adequate reporting of the benefits generated by the projects in people's lives. The superiority of the Result Based Monitoring and evaluation over others is based on its ability to document the changes in peoples' lives without ignoring the contribution of the project activities and participation of all stakeholders in the project (UNDP,2004).

1.2.2 Theoretical background

This study adopts the Theory of Change model as the theoretical basis for analyzing and understanding factors influencing outcome and impact reporting (RBM&E).

The stream of work leading to the use of theories of change in evaluation can be traced back to the late 1950s with Kirkpatrick's 'Four Levels of Learning Evaluation Model'. Further progress and evolution has included Daniel Stufflebeam's CIPP (context, input, processes and products) and the widely used logical frameworks (logframes) or logical models which set out causal chains usually consisting of inputs, activities, outputs and outcomes coupled to long-term goals.

Methods such as logframes were a significant advance, providing a framework through which the relationships between a program's components could be drawn out and articulated. However, US writers such as Weiss, Chen and Patton increasingly highlighted the challenges in evaluating complex social or community change programs when it was not clear precisely what the programs had set out to do or how and therefore difficult to evaluate whether or how they had achieved it (James, 2011).

One organization which began to focus on these issues was the US based Aspen Institute and its Roundtable on Community Change. The work of the Roundtable led to the publication in 1995 of *New Approaches to Evaluating Comprehensive Community Initiatives*. In that book, Carol Weiss, a member of the Roundtable's Steering Committee on Evaluation, hypothesized that a key reason complex programs are so difficult to evaluate is that the assumptions that inspire them are poorly articulated. She argued that stakeholders of complex community initiatives typically are unclear about how the change process will unfold and therefore give little attention to the early and mid-term changes that need to happen in order for a longer term goal to be reached. The lack of clarity about the "mini-steps" that must be taken to reach a long term outcome not only makes the task of evaluating a complex initiative challenging, but reduces the likelihood that all of the important factors related to the long term goal will be addressed (Weiss, 1995).

Weiss 1995, popularized the term “Theory of Change” as a way to describe the set of assumptions that explain both the mini-steps that lead to the long-term goal and the connections between program activities and outcomes that occur at each step of the way. She challenged designers of complex community-based initiatives to be specific about the theories of change guiding their work and suggested that doing so would improve their overall evaluation plans and would strengthen their ability to claim credit for outcomes that were predicted in their theory. She called for the use of an approach that at first blush seems like common sense: lay out the sequence of outcomes that are expected to occur as the result of an intervention, and plan an evaluation strategy around tracking whether these expected outcomes are actually produced.

Since the publication of Weiss’s book, the use of planning and evaluation using theories of change has increased exponentially among philanthropies, government agencies, international NGOs, the UN and many other major organizations in both developed and developing countries. This has led to new areas of work, such as linking the theory of change approach to systems thinking and complexity. Change processes are no longer seen as linear, but as having many feedback loops that need to be understood. Theories of change are strengthening monitoring, evaluation and learning. They are also helping to understand and assess impact in hard to measure areas, such as governance, capacity strengthening and institutional development. Innovations continue to emerge.

Despite the growing ubiquity of theory of change however, especially in the development arena, understanding of the approach and the methods necessary to implement it effectively are not uniform. In fact, there is evidence of some confusion about what the term ‘theory of change’ actually means and in some cases what some program developers describe as theories of change are in essence simply log frames or other approaches that do not encompass the complexity of the theory of change approach.

1.2.3 Conceptual background

The study focuses on the management support, organization capacity, availability of baseline data and how these factors influence the application of RBM&E (reporting on outcomes and impact of project interventions). The relationship between the above factors and RBM&E in that the factors are the tools to achieve the ideal output while RBM&E on the other hand is an ideal outcome. RBM&E in the study is measured using outcome and impact reporting of project interventions. The factors in the study are the independent variables while RBM&E is the dependent variable.

Monitoring has been defined by many authors in different ways. Organization for Economic Cooperation and Development (OECD, 2002) defined monitoring as a continuous function that uses systematic collection of data on specific indicators to provide management and main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives. Evaluation on the other hand is a systematic and objective assessment of an on-going or completed project, programme or policy with the aim of determining relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability.

Monitoring and evaluation are essential to improving project effectiveness. Effective project monitoring allows a project team to make appropriate decisions on a day-to-day basis and ensures that projects are carried out as planned, and modified when necessary. Evaluation enables project managers to understand and demonstrate the results of their work, determine the best strategies for achieving the project objectives and document lessons learned to improve future programmes.

The concept of Results Based M&E is a powerful public management tool introduced by the World Bank. It can be used to help policy-makers and decision makers to track progress and demonstrate the impact of a given project, program, or policy. It differs from traditional implementation-focused M&E defined by compliance. In this regard, it moves beyond an emphasis on inputs and outputs to a greater focus on outcomes and impact (Kusek and Rist 2004:1).

The increasing emphasis on results influenced the management of organizations and interventions, and necessitates the adoption of the Result-Based M&E. RBM&E is a participatory and team-based management approach that seeks to focus an organization's efforts and resources on expected results, improving effectiveness and sustainability of projects/programs/policies, and to improve transparency and accountability.

RBM&E provides a coherent framework for strategic planning and management by improving learning and accountability. It is also a broad management strategy aimed at achieving important changes in the way agencies operate, with improving performance and achieving results as the central orientation, by defining realistic expected results, monitoring progress toward the achievement of expected results, integrating lessons learned into management decisions and reporting on performance. Therefore, RBM&E takes the focus away from activities to results. In general, RBM&E involves identifying project/program/policy beneficiaries, designing projects/programs/policies to meet their needs, defining realistic expected results, identifying and managing risks, monitoring progress towards results and resource consumed, increasing knowledge by learning lessons, incorporating lessons learned into management decisions, and reporting on the results achieved and resources involved to relevant stakeholders (CIDA 2009).

The Organization for Economic Cooperation Development (OECD) (1997) reported that, public reform efforts of the past decade in the ten OECD countries and concluded that variants of results management had been prominent in all the ten countries. In this period, results management became a basic component of modern public management practices. The United Nations system adopted results-based management to improve the effectiveness and accountability of United Nations agencies. This shift towards Results Based Management (RBM) was accompanied by increasing UN interagency collaboration and interaction that seek to respond to UN reform and greater harmonization of UN programmes with national priorities (United Nations Handbook, 2010).

1.2.4 Contextual background

In Uganda, over the past two decades, considerable efforts have been made to establish a strong and robust basis for assessing both private and public spending. In achieving this, M&E was considered as a means of Government and NGOs measuring their development interventions. M&E was therefore enshrined in the National Development Plan and institutionalized in the governance systems and processes (National Development Plan,2010/11-2014/15). The Office of the Prime Minister (OPM) was given the constitutional mandate to oversee reforms and service delivery in all Government Ministries, Departments and Agencies established an M&E function to support this role (National M&E Policy, 2013).

A National Strategy for Monitoring and Evaluation of Government programmes (NIMES) was developed with the aim of enhancing M&E capacity as well as ensuring that sound evidence based data and information are available to inform decision making (The Republic of Uganda, National Integrated Monitoring and Evaluation Strategy, 2006).

Significant effort went into introducing planning, results based budgets, monitoring systems and developing the institutional capacity to design ministry strategy and plans to implement M&E arrangements to monitor results and provide a basis for performance improvement as provided for in the national development plan (Annual Performance Assessment Report,2013/2014).

The growing concern over the effectiveness of aid has led donors attaching conditions to funds, here under expectations that NGO’s demonstrate results, effectiveness and accountability. As requirements for funds grow stricter and the emphasis on management practice and demonstrable results increases, NGO’s have been forced to demonstrate their impact through development of comprehensive monitoring and evaluation systems. Besides the donors, the project beneficiaries are also putting pressure on the NGOs and other members of the civil society to show the impact of their work and relevance.

This study will be carried out at Nurture Africa headquarters located in Nansana Village, Kawempe Division in Wakiso district.   Nurture Africa is a Not-For-Profit, Non- Governmental Organization (NGO) founded in 2003. It focuses on the provision of quality health care and education to Orphans and Vulnerable Children (OVC) infected with and affected by HIV/AIDS in Uganda. It is currently operating in the districts of Wakiso (Population 1.2 million), Mubende

(Population 470,000), Hoima (Population 580,000) and Arua (Population 560,000). The organization employs a total of 51 staff and its core program areas include; Primary Health Care, Child protection, Education and Sustainable livelihood.

1.3 Statement of the problem

Nurture Africa depends on donor funds to implement community projects. Since its establishment in 2003, Nurture Africa has been reporting its performance based on activities completed versus the expenditure (traditional M&E) and very little on outcomes and impact of the project interventions (Nurture Africa Annual Project Reports 2003-2011). There is a growing concern over the effectiveness of aid which led the donors such as Lessons for Life Foundation attaching conditions to subsequent funds by demanding Nurture Africa to demonstrate the project impact through development of results based monitoring and evaluation system (Project Evaluation Report 2012). In 2013 and 2014, the organization conducted 3 internal M&E trainings to enable staff acquire basic M&E skills and improve reporting and documentation of project performance (Nurture Africa Training Report, 2014). Despite the above efforts, little is still being documented on project outcomes and impact (Annual Report, 2015).

The persistent reporting on project activities and outputs than outcomes and impact has continued to raise concerns among donor organizations leading to reduced funding and stringent conditions on development organizations to demonstrate RBME system application before they are considered for funding (PELUM, 2008). It is against this background therefore, that this study seeks to examine factors influencing application of Results based M&E by Nurture Africa.

1.4 Purpose of the Study

To examine factors influencing the application of Results Based Monitoring and Evaluation system by Nurture Africa.

1.5 Objectives of the Study

i) To establish how management support influences application of RBM&E by Nurture Africa

ii) To explore how organization capacity influences application of RBM&E by Nurture Africa

iii) To assess how baseline data influences application of RBM&E by Nurture Africa

1.6 Research questions

i) How does management support influence application of RBM&E at Nurture Africa?

ii) How does organization capacity influence application of RBM&E at Nurture Africa?

iii) How does baseline data influence application of RBM&E at Nurture Africa?

1.7 Hypothesis of the Study

i) There is a positive relationship between management support and application of Results based Monitoring and Evaluation system

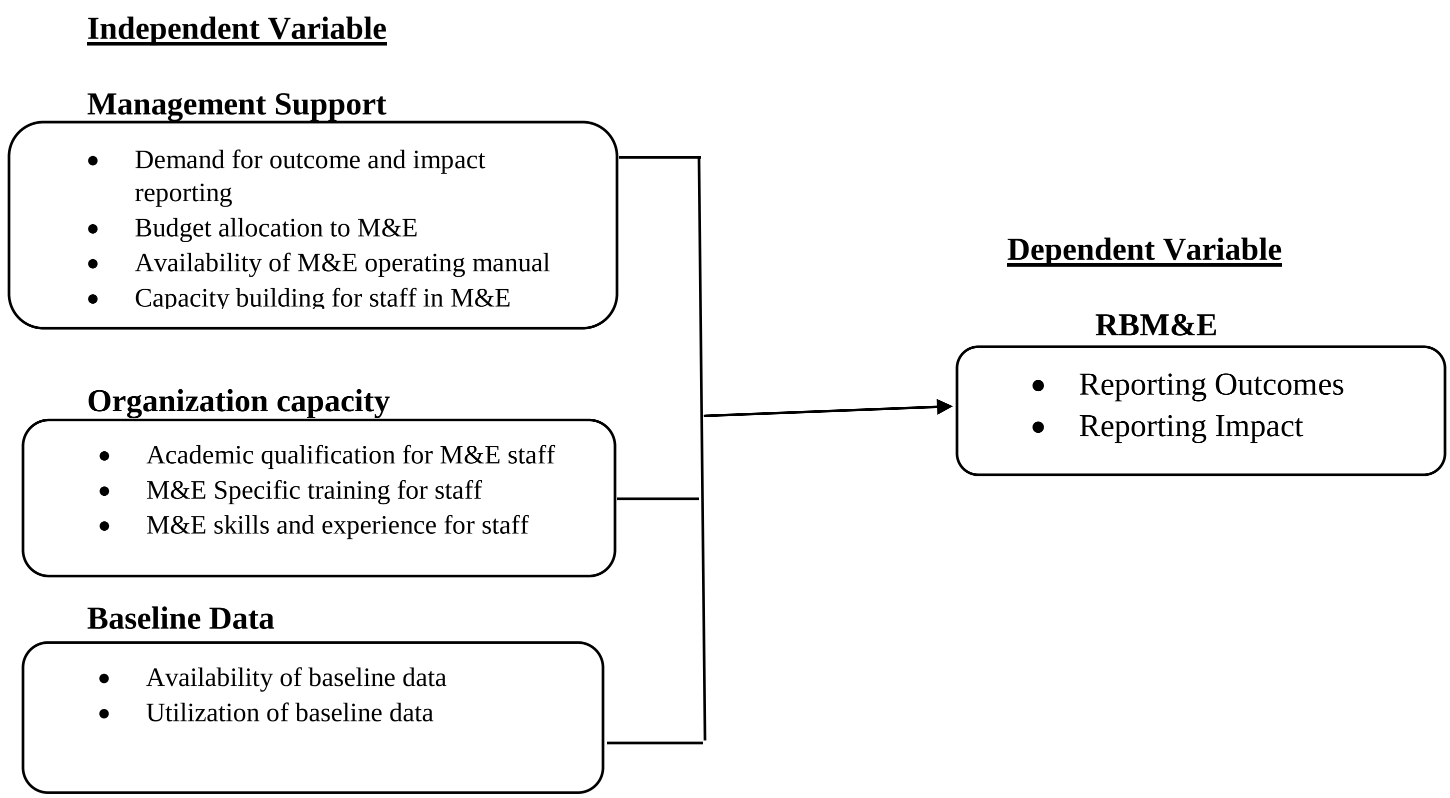
(ii) There is a positive relationship between organization capacity and application of Results based Monitoring and Evaluation system

(iii) There is a positive relationship between availability of baseline data and application of Results based Monitoring and Evaluation system

1.8 Conceptual Framework

This research study is conceptualized in line with ten steps of setting up Result Based Monitoring and Evaluation systems(Kusek,2004). The conceptual framework has several factors that affect the RBME system application by Nurture Africa. In this study, three factors will be investigated. These include management support, organization capacity, availability and use of baseline data.

CONCEPTUAL FRAMEWORK



Adopted with modification from Nyagah (2015)

1.9 Scope of the Study

1.9.1 Geographical Scope

The study will be carried out at Nurture Africa Head Offices located in Nansana village, Kawempe division in Wakiso district. Nurture Africa has a total number of 51 staff and it serves a district with a total population of 1.2 million people.

1.9.2 Content Scope

The study will explore factors influencing the application of Results based Monitoring and Evaluation by Nurture Africa. Factors to be explored include; management support and application of RBM&E, organization capacity and application of RBM&E, Availability of baseline data and application of RBM&E

1.9.3 Time Scope

The study will cover a period from 2008 to 2015 since Nurture Africa Monitoring and Evaluation system has been operational from 2008. The donor demand for outcome and impact reporting of projects on beneficiaries became a concern since 2011 and to some donors, this became a prerequisite for the subsequent funding.

1.10 Justification of the Study

It is critical that the factors that influence the application of Results based M&E in development organizations are thoroughly examined and understood by the development organization implementing Monitoring and Evaluation system as well as the funding agencies. Without clear understanding of these factors, organizations will continue reporting at activity and output level instead of outcomes and impact of interventions on beneficiaries.

1.11 Significance of the Study

The information from this study will be vital in enabling Nurture Africa and other development organizations including donor organizations to understand the current status of RBME system in organizations and factors associated to its application. The findings will be used to enable development organizations apply RBME system effectively through focusing on reporting results. The findings will be instrumental in decision making processes by donor organizations concerning projects funding. Lastly, the findings will be of value to project management researchers who are interested in carrying out further research in monitoring and evaluation of the projects.

1.12 Operational definition of terms and concepts

Application of a RBME system means facilitating recording and reporting changes made by development organizations in target beneficiaries lives (International Fund for Agricultural Development (IFAD), 2002).

Development organizations are the organizations that identify social problems, design interventions, source funds and implement relevant interventions. During the project implementation, the project staff are expected to write regular reports on the progress of the implementation and achievements (Lynn *et al*, 2008).

Donor organizations are the organizations mostly international that give funds to development organizations to implement interventions to make a positive difference in the target communities (Wanyama, 2001).

Evaluation is the systematic and objective assessment of an ongoing or completed project, program, or policy to determine the design, implementation and results. The aim of an evaluation is to determine the relevance and fulfilment of objectives, project efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipient's organizations and donors (Duignan, 2008).

Management in relation to RBME refers to the use of performance information in making decisions to coordinate the projects' implementation to achieve predetermined objectives (Mulwa and Ngulu, 2011).

Monitoring is a continuous, systematic and regular (routine) collection of data on a given project's indicators to provide management and the main stakeholders with information on an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds (Lynn *et al*, 2008).

Results are the changes occurring as an effect of a project and that can be attributed to it. They may be positive or negative, intended or unintended, direct or indirect. The results include, outcomes and impact. *Outcomes* are both short-term and medium-term effects of a project's outputs and *impact* are positive and negative, primary and secondary long-term effects produced by a project, directly or indirectly, intended or unintended (IFAD, 2002; Lyn *et al*, 2008).

Results Based Monitoring and Evaluation System is a standard and structured procedure for recording and reporting project performance to inform decision making on the project implementation and performance (Food and Agriculture Organization (FAO), 2010).

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

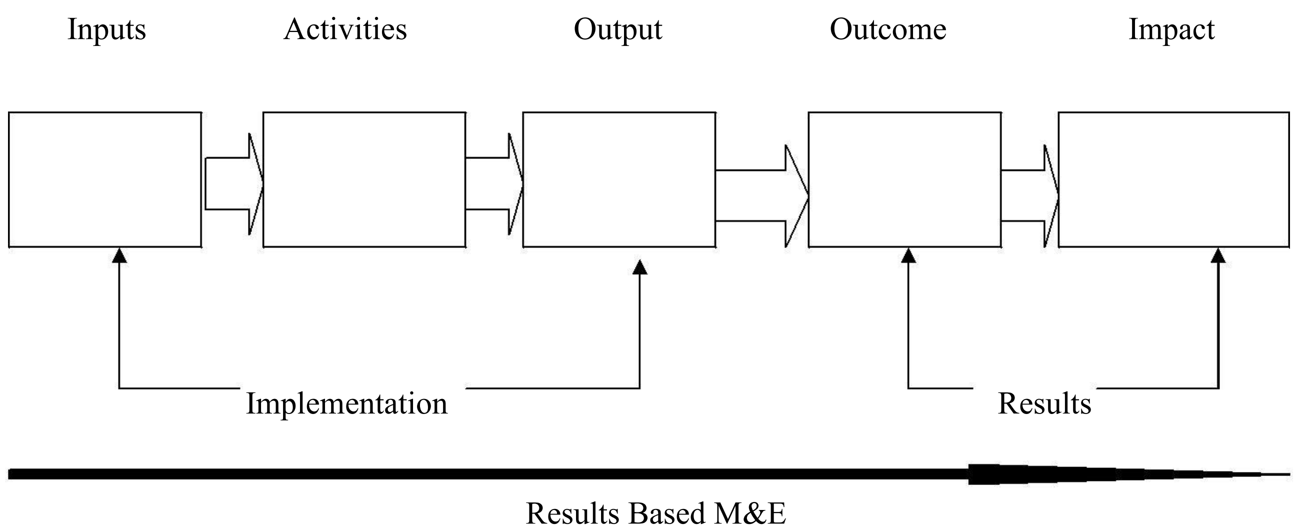
This chapter seeks to put Results based Monitoring and Evaluation into context in relation to earlier works by other researchers. It also presents a theoretical review, conceptual review as well as actual review on factors influencing the application of Results based Monitoring and Evaluation in organizations.

2.2 Theoretical Literature Review

2.2.1 Theory of Change

Theory of change is part of the program theory that emerged in the 1990s as an improvement to the evaluation theory (Stein and Valters, 2012). A theory of change is a tool used for developing solutions to complex social problems. It provides a comprehensive picture of early and intermediate term changes that are needed to reach a long term set goal (Anderson, 2005). It therefore provides a model of how a project should work, which can be tested and refined through monitoring and evaluation. A theory of change is also a specific and measurable description of change that forms the basis for planning, implementation and evaluation. Most projects have a theory of change although they are usually assumed (CARE, 2013). The theory of changes helps in developing comprehensible frameworks for monitoring and evaluation. It is mainly used by NGOs and donors to articulate long term impact on projects (James, 2011).

Theory of Change



Adopted from UNDP (2002:7)

2.3 Conceptual Literature Review

2.3.1 Monitoring

Monitoring and Evaluation is one of the components of project management. Project management covers all the operations of a project from inception to completion. The operations are categorized into stages namely; project identification, formulation, appraisal, approval, implementation, and monitoring and evaluation (Mulwa, 2010). Each stage has a clear role in the project and are interdependent. However, monitoring and evaluation is a unique stage because its operations cover all other stages although its significance is evident at the implementation and the end of the project.

Many authors have preferred defining the terms monitoring and evaluation separately. However, the two terms are related in terms of operation in the project management. United Nations Development Programme (UNDP) (2004) defines monitoring as a continuous function that provides project stakeholders with indication of progress towards achievement of the results. Lynn *et al*, (2008), Kusek (2004) and Shapiro (2001) further state that it is a systematic collection and analysis of the information based on specific indicators to track efficiency and progress of a project. Farrell (2009) summarizes the definition of monitoring by stating that it is a continuous process that provides evidence based report about project progress.

2.3.2 Evaluation

On the other hand, an evaluation is seen as a systematic identification of effect whether positive or negative in target beneficiaries, households, institutions or environment as a result of an intervention (World Bank, 2004). Kusek (2004) further quotes from Organization for Economic Corporation and Development (OECD) (2002) that monitoring and evaluation is a systematic and objective assessment of either ongoing or completed projects.

Looking at the above definitions, it can be summarized that monitoring has to be continuous, systematic and regular. The information collected and analyzed should show the progress of the project to its audience. The converging point of monitoring and evaluation processes is that they are all systematic processes involved in collection and analysis of the information specifically to report on project progress, achievements of intended results, proper use of resources and the context in which the project is operating by the many stakeholders.

2.3.3 Result Based Monitoring and Evaluation System

RBME system is embedded in clear principles that guide its design. Adherence to six principles namely crafting results statements, develop the performance indicators, conducting baseline survey, setting performance targets and performance monitoring explained below lead to adequate reporting of expected changes by development organizations.

2.3.4 Results

Result Based Monitoring and Evaluation is embedded in measuring and reporting expected results. Farrell (2008) observes that development organizations are often accused of setting unclear goals by donor organizations because their project designs do not explicitly state the desired project results. The author defines results as changes that are realized as a result of a project. To be specific, Lynn *et al* (2008) explain results as describable and measurable changes caused by a project and further adds that results have to be attributed to an organization that is willing to be accountable for them. Results are short term, intermediate and long term in nature and should be stated in hierarchical order to show cause effect relationship between them. PELUM Uganda (2008) states them as outcomes and impacts referring to intermediate and long term results respectively. These results are supposed to be crafted by all stakeholders in the form of results statements that are clear and represent logical relationship between levels. Spreckley (2009) refers to this logical relationship as a result chain and suggests its presentation be done in a form of project logical framework.

Clear definition of outcomes and impact of any project is the genesis of the Results Based Monitoring and Evaluation. PELUM Uganda (2008) and Farrell (2008) agree that generating outcomes and impact and transforming them into implementable result statements is the most challenging stage which needs time and they recommend the engagement of all stakeholders in the process of defining and crafting the result statements to ensure that attribute is clear and specific.

2.3.5 Performance indicators

Indicators simply mean yardsticks or standards against which change or progress are measured. Some authors have further expounded the definition of indicators. Lynn *et al* (2008) state that indicators are pieces of information on which when studied over time show change in people's lives. Kusek (2004) defines indicators as quantitative and qualitative variables that provide simple and reliable means to measure achievement and reflect changes connected to a project. According to UNICEF programmes (2010), the indicators of the UNICEF programme include percentage of the children seeking treatment at the health facility (as an outcome indicator) and number of the mothers who have the information on importance of seeking health from health facilities within their locality.

The above definitions point out that an indicator must be clear, measurable and generate information that depicts progress. Indicators provide evidence of how much change has happened due to their ability to generate units of information over a period of time. Documenting project experience is vital for donor funded projects and indicators become the driving force to conduct documentation effectively. If done well, indicators facilitate the reduction of the volumes of the project information into just simple form and most important (FAO, 2010).

According to Kusek (2004), indicators can take two forms; qualitative and quantitative based on the types of information generated. However, the focus of the indicators should not be on the information generated but on how relevant they are in fulfilling their intended purpose of measuring project outcomes. A project can develop new indicators or use predesigned indicators. Selecting new indicators is a difficult task that requires considerable experience and skill. However, in some sectors like health and micro finances, there are predesigned indicators. They are established independently of individual country, organization, programme or sector context. They are also known as universal indicators (PELUM Uganda, 2009; Kusek, 2004). The number of indicators depends on the level at which they are able to measure project outcome adequately and should be left to all stakeholders to decide (Farrell, 2008).

2.3.6 Baseline data

It is very critical for any project to begin by carrying out a baseline survey which can be either a large general community contextual analysis or a specific small group survey. Baselines generate information that becomes a starting point in measuring the performance and setting realistic targets (Kusek, 2004). To measure the extent to which changes have been achieved in the target beneficiaries, baseline information of their needs is a must. Shapiro (2001) confirmed that it is difficult to measure the impact of a project if the nature of the situation was not known at the beginning of the project.

Result Based Monitoring and Evaluation calls for attention to be given to baseline information before implementing a project. The baseline data is based on the performance indicators and outcome of the project. However, development organizations do not embrace this practice as a precondition for their projects; instead they start project implementation without it. PELUM Uganda (2008) reported that many organizations do not carry out baseline survey at the beginning of the project. It is done after the project starts or even never conducted at all. Coninck *et al* (2008), supports that claim by stating that baseline surveys are expensive and organizations consider them to have little value. He further states that baseline findings are rarely used for monitoring and evaluation. Instead, many organizations conduct baseline surveys in compliance with donor requirements but do not apply the data for project monitoring and evaluation purposes.

If the baseline has not been carried out, PELUM Uganda (2008) advises that it can be reconstructed but it is challenging. Shapiro (2001) suggests two measures which may be considered as damage control. Either selecting and continuing to monitor control group simultaneously with target beneficiaries or carrying out a retrospective or backward survey. Coninck (2008) suggests that for organizations to make use of baseline data, it should always be updated to reflect the current situation. This way it can be useful for monitoring results and gives staff a fresh look, periodically, at their situations, enabling them to make necessary adjustments.

2.3.7 Performance targets

Result Based Monitoring and Evaluation requires organizations to specifically define targets as a threshold of their projects. In most cases targets comprises of quantifiable levels of project intentions. Projects should be clear about the target groups, time and location. Baseline data is crucial for facilitating the developing of the targets (IFAD, 2002). It is clear that without performance indicators and baseline data, organizations find the setting of realistic targets to be problematic.

2.3.8 Performance monitoring

After target setting, Result Based Monitoring and Evaluation requires the organization to define the data collection process based on performance indicators. PELUM Uganda (2008) refers to this process as setting out a performance monitoring and Evaluation plan. It is in this plan that the frequency of data collection, data collection methods and tools, data analysis and responsibilities are outlined clearly. It is this plan that guides the project team on data analysis and reporting of the results (Lynn *et al*, 2008).

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2.3.9 Communicating findings

Due to a lack of understanding of monitoring and evaluation, organizations carry out casual compilations of reports from the field guided by donors' prescribed reporting requirements. There is minimal analysis of the project data by the project staff. The common practice among development organizations is compiling information without giving meaning to the data. The reporting therefore concentrates more on accountability at the expense of learning (TIR, 2007).

Monitoring and evaluation generates information that has to be packaged and disseminated in the right form. It is important to appreciate different uses and users of monitoring and evaluation findings. These include giving accountability, advocacy, learning, investigating and exploring what works and what does not work, institutional memory, empowerment of stakeholders and promoting understanding of the project. The main task is to deliver a message to an appropriate audience about progress. It is therefore important to know the information needs for all project stakeholders and their forms of preferred delivery. The information ought to be presented in a clear and understandable form (PELUM Uganda, 2008).

2.4 Factors hindering RBME system Application by Development Organizations

Result Based Monitoring and Evaluation is a paradigm shift away from the traditional monitoring and evaluation to impact monitoring of projects. The traditional method of monitoring and evaluation benefited donor organizations but the Result Based Monitoring and Evaluation has proven to benefit all stakeholders including target beneficiaries, local organizations and governments (Spreckley, 2009). However, the practice has been slow and in some cases absent because of the several factors. These factors include financial resources, staff technical skills, management support, availability of baseline data, the presence of a clear monitoring and evaluation structure.

2.4.1 Management support and the application of Results Based Monitoring and Evaluation

The primary challenge of development organizations into adopting the Result Based Monitoring and Evaluation system is a lack of political will in the leadership of the organizations. Lack of interest from managers is a hindrance to effective monitoring and evaluation (Turabi *et al*, 2011). This is attributed to the lack of a transparent administrative culture that does not encourage accountability for both effective financial and performance management. On the same note, lack of support is generated by the absence of a clear strategy at all levels in the organizations that hinders high performance monitoring. The link between strategy and performance monitoring remains a fertile ground for mismanagement of the projects within an organization (ibid).

2.4.2 Organization capacity and the application of Results Based Monitoring and Evaluation

Result Based Monitoring and Evaluation requires great investment from the organizations. In most cases the donors do not provide funds to carry out monitoring and evaluation separately.

The financial resources are fundamental for RBME system because of developing the capacities of the staff and acquiring of the equipment that facilitates the system. Ellis (2009) acknowledges that monitoring and evaluation consume much time and money and if inadequate, incomplete reporting and inaccurate data is to be expected. The other reason for the slow uptake of the Result Based monitoring and Evaluation by organizations is an imbalance between accountability and learning. While Result Based Monitoring and Evaluation advocates for a balance between learning and accountability, many development organizations are still emphasizing accountability more than learning (IFAD, 2002).

2.4.3 Baseline data and the application of Results Based Monitoring and Evaluation

Organizations identified impact of the project as difficult to document due to lack of baseline data as well as irrelevant indicators. Inadequate capacity on monitoring and evaluation is associated with donors demanding too much information from organizations (ibid). The technical skills to collect quality data, analyse it and report has been noted to be another challenge that make donors demand more and more data because of missing information in the reports. A serious problem lies with analyzing the data appropriately to reflect change made in people's lives (Malaria Eradication and Research Agenda (MalERA), 2011).

2.5 Empirical Studies

A number of studies have been conducted on application of Results based Monitoring and Evaluation. Nyagah (2015) undertook a study on the application of the result based monitoring and evaluation system by development organizations and established that management support, budgetary allocation, staff capacity and availability of baseline data are important factors which greatly facilitate application of Results based Monitoring and Evaluation by development organization.

Another study done by Turabi *et al*, 2011 on a novel performance monitoring framework for health systems emphasizes that the primary challenge of development organizations into adopting the Result Based Monitoring and Evaluation system is a lack of political will in the leadership of the organizations. The lack of interest from managers is a hindrance to effective application of results based monitoring and evaluation in organizations.

Ellis (2009) in his study on Monitoring and Evaluation in the sector; meeting accountability and learning needs acknowledges that results based monitoring and evaluation consumes much time and money and if inadequate, incomplete reporting and inaccurate data is to be expected.

2.6 Synthesis and Gap Analysis

Researchers on related literature present that Result Based Monitoring and Evaluation has proven to benefit all stakeholders including target beneficiaries, local organizations and governments where it has been applied (Spreckley, 2009). However, the literature shows that its application has been slow and in some cases absent in both public and private institutions including Not for profit Non-Government Organizations.

This study will therefore bridge the gap on why the slow or lack of application of Results Based Monitoring and Evaluation Systems by development organizations.

CHAPTER THREE

METHODOLOGY

3.1 Introduction

This chapter discusses the research methodology that will be used in this study and provides a general framework for this research. The chapter presents details of the research design, target population, sample and sampling procedures, description of research instruments, validity and reliability of instruments, data collection procedures, data analysis techniques and ethical considerations while conducting the study.

3.2 Research Design

Ogula (2005) describes a research design as a plan, structure and strategy of investigation to obtain answers to research questions and control variance. Additionally, a study design is the plan of action the researcher adopts for answering the research questions and it sets up the framework for study or is the blueprint of the researcher (Kerlinger, 1973). This study will adopt a cross sectional study design. Cross sectional study design will be suitable for this study because it is used for examining a phenomenon that is expected to remain static throughout the period of the study, gives room to collect data on many variables at once and best applied for different groups of individuals that differ in the variables under the study but share other characteristics including those under investigation (Mugenda and Mugenda, 2003).

3.3 Study Population

According to Ogula, (2005), a population refers to any group of institutions, people or objects that have common characteristics. The target population for this study will constitute all the 51 Nurture Africa staff

3.4 Determination of the Sample Size

A sample is a smaller group or sub-group obtained from the accessible population (Mugenda and Mugenda, 1999). This subgroup is carefully selected so as to be representative of the whole population with the relevant characteristics. Each member or case in the sample is referred to as subject, respondent or interviewees. Sampling is a procedure, process or technique of choosing a sub-group from a population to participate in the study (Ogula, 2005). It is the process of selecting a number of individuals for a study in such a way that the individuals selected represent the large group from which they were selected. A sample of 40 Nurture Africa staff will be determined using Krejcie & Morgan (1970) table and individual elements in different categories will be determined using both simple random and purposive sampling procedures.

3.5 Sampling techniques and procedures

No	Stratum (Departments at Nurture Africa)	Target population	Sample Size	Sample Technique
1.	Child Protection	6	5	Simple Random sampling
2.	Education	8	6	Simple Random sampling
3.	Health	12	10	Simple Random sampling
4.	Sustainable Livelihood	6	4	Simple Random sampling
5.	Accounts	4	3	Simple Random sampling
6.	Management	5	4	Purposive sampling
7.	Monitoring & Evaluation	4	3	Simple Random sampling
8.	Support Staff	6	5	Purposive sampling
	TOTAL	**51**	**40**	

Source: *Krejcie. & Morgan, (1970) tables as cited in (Amin, M.2005.p.454)*

For respondents who will be selected randomly, a list of names for staff (sampling frame) will be obtained from the departmental heads where respondents will be selected using simple random sampling.

3.6 Data Collection Methods

The research study will use a mixed method of data collection. These will include surveys, key informative interviews, document review of M&E tools and reports as well as observation of available M&E tools.

3.7 Data Collection Instruments

The data will be collected using self-administered questionnaires. This will be used for the purpose of collecting primary quantitative data. Additionally, the questionnaires will be used for the following reasons: a) its potentials in reaching out to a large number of respondents within a short time, b) able to give the respondents adequate time to respond to the items, c) offers a sense of security (confidentiality) to the respondent and d) it is objective method since no bias resulting from the personal characteristics (as in an interview) (Owens, 2002).

Key Informant Interview guides will also be used for the selected respondents such as support staff and Management staff. The interview guide provides detailed, qualitative information about impressions, experiences and opinions.

The observation and document review checklists will also be used to collect qualitative data.

3.8 Validity and Reliability

3.8.1 Validity

Validity refers to the degree to which evidence and theory support the interpretation of test scores entailed by use of tests. The validity of instrument is the extent to which it does measure what it is supposed to measure. According to Mugenda and Mugenda (1999), Validity is the accuracy and meaningfulness of inferences, which are based on the research results. It is the degree to which results obtained from the analysis of the data actually represent the variables of the study. The research instrument will be validated in terms of content and face validity. The content related technique measures the degree to which the questions items reflected the specific areas covered.

3.8.2 Reliability

Reliability is the ability of a research instrument to consistently measure characteristics of interest over time. It is the degree to which a research instrument yields consistent results or data after repeated trials. If a researcher administers a test to a subject twice and gets the same score on the second administration as the first test, then there is reliability of the instrument (Mugenda and Mugenda, 1999). Reliability is concerned with consistency, dependability or stability of a test (Nachmias and Nachmias, 1996). The researcher will measure the reliability of the questionnaire to determine its consistency in testing what they are intended to measure. The test re-test technique will be used to estimate the reliability of the instruments. This will involve administering the same test twice to the same group of respondents who have been identified for this purpose.

3.9 Data Collection Procedure

After getting the introductory letter from the University, the researcher will make an official request to the Chief Executive Officer (CEO) Nurture Africa to conduct a survey in the organization. The researcher will visit the organizations and have introductory meeting with the CEO to explain further on the purpose of the study. Upon receiving oral permission from the CEO, the researcher will engage the Human Resources Manager of Nurture Africa to provide a list of project staff as per their departments. The researcher will schedule for appointments with the respondents.

3.10 Measurement of Variables

The Likert scale will be used to measure the strength of respondents' skills towards statements that are formulated on the variables and their dimensions.

3.11 Data Analysis procedure

Both quantitative and qualitative approaches will be used for data analysis. Quantitative data from the questionnaire will be coded and entered into the computer for computation of descriptive statistics. The Statistical Package for Social Sciences (SPSS version 11.5) will be used to run descriptive statistics such as frequency and percentages so as to present the quantitative data in form of tables and graphs based on the major research questions. The qualitative data generated from open ended questions and key informant interviews will be categorized in themes in accordance with research objectives and reported in narrative form along with quantitative presentation. The qualitative data will be used to reinforce the quantitative data.

3.12 Ethical consideration

The researcher will explain to the respondents about the research and that the study will be for academic purposes only. It will be made clear that the participation is voluntary and that the respondents will be free to decline or withdraw any time during the research period. Respondents will not coerce into participating in the study. The participants will have informed consent to make the choice to participate or not. They will be guaranteed that their privacy will be protected by strict standard of anonymity.

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APPENDIX I: QUESTIONNAIRE

INTRODUCTION

My name is JOSEYLEE SURMEY KASULE, a student from Uganda Technology and Management University. I'm pursuing Masters' degree in Monitoring and Evaluation and one of the university requirements for the award of the Master's degree is to carry out a research project in areas of individual interest. I would like to seek your consent for completing this research questionnaire on **"*Factors influencing application of Result Based Monitoring and Evaluation System by Nurture Africa***

Serial No...............................

SECTION A: BACKGROUND INFORMATION

Please tick or circle the appropriate number

1	**AGE (Years)**				
	Less than 25 years	26 – 35 years	36 – 45 years	46 -55 years	56yrs and above
	1	2	3	4	5

2	**SEX**	
	Female	Male
	1	2

3	**DEPARTMENT**	***Tick***
	Child protection	
	Education	
	Health	
	Sustainable livelihood	
	Accounts	
	Management	
	Monitoring and Evaluation	
	Support staff	

4	**TITLE**	

5	**EDUCATION QUALIFICATION**					
	PhD	Masters	Bachelors	Diploma	Certificate	Others (Specify)
	1	2	3	4	5	6

6	**DURATION OF SERVICE AT NURTURE AFRICA**

	Less than 5 years	5 – 10 years	11 – 15 years	16 years and above
	1	2	3	4

From questions 1 – 55, tick or circle the number that best indicates your opinion on the question using the following scales: **SD**=Strongly Disagree, **D**=Disagree, **N**=Neutral, **A**=Agree, **SA**=Strongly Agree

SCALE	1	2	3	4	5
	SD	D	N	A	S A

	SECTION B. MANAGEMENT SUPPORT	**SD**	**D**	**N**	**A**	**SA**
1	Management always demands for outcome and impact reports.	1	2	3	4	5
2	Management always support capacity building in M&E for staff.	1	2	3	4	5
3	Management always allocate sufficient fund for M&E.	1	2	3	4	5
4	Donors always allocate sufficient funds for project activities.	1	2	3	4	5
5	There is timely allocation of funds for project activities.	1	2	3	4	5
6	Nature Africa has got an M&E operational manual.	1	2	3	4	5
7	Staffs always follow M&E operational manual while executing project activities.	1	2	3	4	5
8	Staffs always provide regular reports on outcome and impact.	1	2	3	4	5
9	There is utilization of outcome and impact reports at Nature Africa.	1	2	3	4	5
10	Outcome and impact reports are accessible to staff	1	2	3	4	5
11	Donors always demand for outcome and impact reports from management	1	2	3	4	5
12	There is standard format for reporting on outcome and impact at Nature Africa	1	2	3	4	5
13	Outcome and impact indicators are easy measure	1	2	3	4	5
	SECTION C: ORGANIZATIONAL CAPACITY	**SD**	**D**	**N**	**A**	**SA**
14	Staff have M&E skills and experience	1	2	3	4	5
15	Staffs are regularly trained in M&E reporting	1	2	3	4	5
16	The organization has sufficient number of staff with M&E competences	1	2	3	4	5
17	The organization has a department in charge of M&E related activities	1	2	3	4	5

18	Nature Africa has got qualified staff in all the departments	1	2	3	4	5
19	There is sufficient budget allocated for staff training and development	1	2	3	4	5
20	The staffs have competence in logical/result framework	1	2	3	4	5
21	The staff have competences in developing outcome and impact indicators	1	2	3	4	5
22	The staffs have competence in designing M&E plans	1	2	3	4	5
23	The staffs always meet their performance targets	1	2	3	4	5
24	Staffs have competence in data analysis	1	2	3	4	5
25	Staffs have competence in conducting evaluation studies	1	2	3	4	5
26	The organization regularly collects data on project outcomes and impact	1	2	3	4	5
27	Nature Africa has got competent leadership	1	2	3	4	5
28	Project donors have a vote for capacity training and development	1	2	3	4	5
	SECTION D: BASELINE SURVEY	**SD**	**D**	**N**	**A**	**SA**
29	Nature Africa conducts baseline studies	1	2	3	4	5
30	Nature Africa engages stakeholders at every stage in conducting baseline studies	1	2	3	4	5
31	The objective for conducting the baseline is clearly understood by all stakeholders	1	2	3	4	5
32	The baseline information is utilized by the organization	1	2	3	4	5
33	Baseline studies are normally conducted before the start of the project at Nature Africa	1	2	3	4	5
34	Baseline studies are normally conducted during project implementation	1	2	3	4	5
35	Baseline studies are conducted after the project implementation	1	2	3	4	5
36	Baseline studies provide information base against which to monitor and assess an activity’s progress during and after implementation	1	2	3	4	5
37	A baseline study is not the same as a pilot study	1	2	3	4	5
38	Without a baseline, it is not possible to know the impact of a project	1	2	3	4	5
39	A baseline is a starting point for a project and services as a bench for all future activities, where project managers can refer to for the purpose of making project management decisions	1	2	3	4	5
40	Baselines studies are carried out at Nature Africa as a requirement by the donors	1	2	3	4	5

41	The tools used during a baseline study are normally the same tools used during evaluation study at Nature Africa	1	2	3	4	5
42	Without a baseline study, it is not possible to know the impact of a project	1	2	3	4	5
43	There is sufficient funds allocated for baseline studies at Nature Africa	1	2	3	4	5
	SECTION E: RESULT BASED MONITORING AND EVLUATUION	**SD**	**D**	**N**	**A**	**SA**
49	The organization has clear indicators for measuring results at outcome and impact level	1	2	3	4	5
50	The organization reports on outcome and impact	1	2	3	4	5
51	M&E reports informs decision making in the organization	1	2	3	4	5
52	There is utilization of M&E results in the organization	1	2	3	4	5
53	Performance has improved as a result of the demand for M&E results at outcome and impact level	1	2	3	4	5
54	Funding has increased as a result of the organization reporting on outcome and impact	1	2	3	4	5
55	The demand for results at outcome and impact level has improved on accountability in the organization	1	2	3	4	5

E1 Please comment on the overall factors that influences application of result based monitoring and evaluation in Nurture Africa?

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E2 What can be done to enhance result based monitoring and evaluation at Nurture Africa?

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Thank you for your participation!

APPENDIX II: INTERVIEW GUIDE

FACTORS INFLUENCING APPLICATION OF RESULT BASED MONITORING AND EVALUATION SYSTEM BY NATURE AFRICA

The purpose of the interview is to gather Key informants' views on the factors influencing application of result based monitoring and evaluation at Nature Africa.

Background Information

Gender of respondent: Male (   ) Female (   )

Position in the Organization: ………………………………….

Date: ………………………………………………………...

1. What have you done as management to improve on outcome and impact reporting at Nature Africa?
2. What criteria do you have in place to demand for result both at outcome and impact level?
3. Does Nurture Africa have an M&E operational manual? What was the process of its development?
4. What strategies do you have in this organization to build capacity of staff in Results based Monitoring and Evaluation?
5. Comment on the resources committed to the M&E function at Nurture Africa.
6. What challenges have you faced with regard to reporting at outcome and impact level?
7. What challenges do you face with regard to carrying out baseline studies?
8. What do you recommend to address the challenges mentioned above?

THANK YOU