MEASURING THE LEVEL OF INSTITUTIONALIZATION OF MONITORING AND EVALUATION SYSTEMS IN UGANDA'S PUBLIC SECTOR: A CASE OF ENERGY SECTOR

By

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DECLARATION

I, **Angella Basaasira Ssali**, hereby state that this work is my own and has not been submitted to any other institution for another degree or qualification, either in full or part. I have acknowledged all sources throughout the research project.

Signature of the researcher: .....

Date: .....

APPROVAL

This is to certify that this dissertation titled, 'Measuring the Level of Institutionalization of Monitoring and Evaluation Systems in Uganda's Public Sector: a case of Energy Sector' was submitted with my approval as the authorized supervisor of Uganda Technology and Management University.

Name of the Supervisor**:**

Professor Benon C. Basheka, PhD

Signature: .....

Date…….

DEDICATION

I dedicate this research work firstly to my God who is my all. All the glory goes to you for having started this great work in me and who will see it to completion. Amidst all financial challenges during this course, you have made a way. And to my precious husband, Mr. Thomas Kabugo Ssali and our beloved children: Emilio Thomas Kiggundu, Joseph Dominic Kabugo and Maria Assumpta Nantongo. You have been the major push factor for me to go back to school and provide a better quality of life for you. With God, all is possible. And to my incredible parents; Mr. and Mrs. Andrew Kaggwa, for the great gift of faith you passed on to me and for the education you gave me. God bless you abundantly.

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LIST OF ABBREVIATIONS

AFREA	African Evaluation Association
BMAU	Budget Monitoring and Accountability Unit
CEO	Chief Executive Officer
CIPP	Context Input Process Product
CLEAR	Centre for Learning and Evaluation Results
DoF	Department of Finance
GEF	Government Evaluation Facility
GoU	Government of Uganda
M&E	Monitoring and Evaluation
MDAs	Ministries Departments and Agencies
MEMD	Ministry of Energy and Mineral Development
MFPED	Ministry of Finance Planning and Economic Development
MTEF	Medium Term Expenditure Framework
NGOs	Non-Government Organizations
NSA	National Statistical Agency
OMB	Office of Management and Budget
OMD	Office of Management
OP	Office of the President
OPM	Office of the Prime Minister
PART	Programme Assessment Rating Tool
PRSP	Poverty Reduction Strategy Paper
SPSS	Statistical Package for Social Scientists
UBOS	Uganda Bureau of Statistics
UETCL	Uganda Electricity Transmission Company Limited

UFE	Utilization Focused Evaluation
UNICEF	United Nations International Children Emergency Fund
UTAMU	Uganda Technology and Management University

ABSTRACT

The study explored the level of institutionalization of Monitoring and Evaluation (M&E) systems in Uganda's public sector. The research aimed to: establish the level of clarity of the vision and purpose of the M&E system; the presence of an enabling environment for the M&E system; the presence of technical capacity and infrastructure to supply M&E information; as well as the presence of capacity to demand and use the M&E information. An exploratory research design was adopted with both qualitative and quantitative approaches being employed. A survey questionnaire was used to seek respondents' opinion, while key informant interviews were used to acquire in-depth views on the building blocks of the different constituents of an institutionalized M&E system. Quantitative data from the questionnaires was arranged, coded and entered using Microsoft Access and Excel to generate tables to convey meaning from the different responses of the Likert Scale provided. SPPS was also used to generate chi squares in testing of the hypothesis to ensure reliability of results. Overall, the findings revealed that the institutionalization of M&E systems in the public sector had a mean score average of 3.37 and this indicated a weak but positive trend towards development of M and E systems. There was clarity in the vision and purpose of the M&E systems rated at a mean score of 4.03 out of the 5 Likert scale used. There was presence of an enabling environment for the M&E systems (4.49) although the supply and demand of M&E information was low at 2.70 and 2.16 respectively. In conclusion, in spite government's effort to establish M&E systems, there is still limited appreciation and low prioritization of M&E in the sector. The study recommended that: Government should prioritize the M&E function by allocating adequate funds to the function and providing clear M&E structures across all Ministries, Departments, Agencies and local governments; the Office of the Prime Minister (OPM) should prioritize the M&E Policy; adequate capacity in M&E should be built; and awareness should be created about the role of M&E in the achievement of development interventions.

CHAPTER ONE

INTRODUCTION

1.1 Introduction

This study explored the level of institutionalization of M&E Systems and Performance of Uganda's Public Sector. In the study, institutionalization of M&E Systems was measured in terms of: i) an appreciation of the potential use of M&E systems; ii) development of an enabling environment to implement the M&E system such as availability of a clear budget for the M&E system, strong buy-in from key stakeholders including the stakeholders being evaluated, Parliament, planners; existence of legislation or strong administrative directives requiring programmes evaluation; iii) technical capacity and infrastructure to supply M&E information; and iv) capacity to demand and use M&E information. This was adopted from a policy paper, "Framework for developing an effective Monitoring and Evaluation System in the Public Sector" (Lahey, 2009:3). It was assumed that having monitoring and evaluation systems in place improves performance (Caiden and Caiden, 1998:1).

Institutionalization of M&E systems is a necessary condition for effective and efficient management of public expenditure and poverty reduction (Mackey, 2007: v). Indeed, Carinean (2006:1) underscored the role of M&E in improving public sector performance, arguing that monitoring and evaluating the performance of public programmes and institutions increases their effectiveness, and provides more accountability and transparency in how public monies are used. It also helps in informing the budgetary process and the allocation of public resources, and

assessing their effectiveness in attaining their desired objective such as improving welfare, reducing poverty or enhancing the equality of opportunities.

Mackey (2007:1) highlights that a growing number of governments are working to improve their performance by creating systems to measure and help them understand their performance. These systems for M&E are used to measure the quantity, quality, and targeting of the goods and services that is: the outputs that the state provides and to measure the outcomes and impacts resulting from these outputs. These systems are also a vehicle to facilitate understanding of the causes of good and poor performance. According to Shand, Mackay, Rojas and Saavedra (2006:3), institutionalization of an M&E System helps to: a) inform budget decision-making, by providing information on the actual or likely performance of government programmes; b) support government planning, such as in the development of national plans; c) helps the ongoing management of government programmes and activities, by providing information on their efficiency and effectiveness; and; d) underpins accountability relationships, that is to the President's Office, the finance ministry, the planning ministry, accountability within ministries, to Congress, and to the people.

After the introduction, this chapter covers the background, statement of the problem, purpose of the study, research questions, conceptual framework, significance of the study, justification of the study, scope of the study, and operational definitions of the terms and concepts.

1.2 Background to the Study

1.2.1 Historical Background

The practice of evaluation is thought to have grown out of the education discipline in way back in 1792 (Scott, 2013:5) which utilized quantitative marks to assess students' performance (Hogan, 2007:3). The demand for military equipment for World War II led to improvements in the practice of evaluation as development aid grew during the post-World War II era when the United States used it to rebuild European states devastated by the war (Hogan, 2007:4). The practice of development evaluation advanced in this post-World War II period as donor agencies began to recognize evaluation as an essential management tool and "began to emerge both at country level and in the UN system in the early 1950s. Since then, it has evolved slowly and unevenly" (UN Taskforce, 1984, p.7).The latter part of the 1950s and throughout the 1960s was a slow period of country-level focus on M&E where the United Nations promoted the building of national development planning capabilities" (UN Taskforce, 1984, p.9).

According to Derlien (1990:147), institutionalization of M&E systems became effective in the 1960s in the United States of America (USA). Great Britain, Sweden, Canada and the Federal Republic of Germany were the second group of countries following the USA efforts. In the 1980s, countries such as Denmark, France, Switzerland, and the Netherlands evolved emphasizing institutionalization of evaluation to increase productivity in governments (Derlien, 1990:147).

In Africa, however, by the 1970s, there was little recognition for M&E systems (Abrahams, 2015:2). An estimated R6 billions of oversees and local funding had only been used for implementation of development projects in South Africa and only a small fraction of these programmes had been evaluated. The few that were evaluated were conducted with serious capacity gaps. Louw's "Informal" survey of the programme evaluations and the type of evaluations produced revealed that the qualitative approach to programme evaluation was the more dominant one and experimental designs were not in great numbers. He found that most of the work involved formative rather than summative evaluation (Abraham, 2007:25). In fact, M&E was relatively unknown until the 1980s but gained increased interest in the 1990s (Potter, 1999:225). Growth in M&E gained prominence in the late 1990s in the middle-income African countries due to the global thrust for greater accountability and transparency in public institutions (Ramafoko, 2012:5).

In Uganda, like several African countries, there has been a steep climb in the discipline in terms of practice, profession and academic study. Basheka and Byamugisha (2015:75) indicate that as a field of practice, specialized departments housing the practitioners now exist -- such as the Office of the Prime Minister (OPM) -- and the demand for evaluation of policies, projects, programmes and interventions continues to increase. A number of efforts have been put in place, such as: the development of the National Policy on Public Sector Monitoring and Evaluation (2013) to provide a framework for strengthening quality and utility of the assessment of public resources and investments (OPM, 2011:ii); and formation of the Budget Monitoring and Accountability Unit (BMAU) in 2008 under the Ministry of Finance, Planning and Economic Development (MFPED) to track government expenditure, among others.

1.2.2 Theoretical Background

Effective M&E system emphasize the decision/accountability approach that highlights that M&E systems should be used to proactively help improve a programme as well as retroactively judge its merit and worth (Jossy, 2001:13). This approach engages all stakeholders in the public sector in focusing the M&E system to provide timely and relevant information, and to assist in decision-making and accountability. The organizers for this approach include decision-makers, while the audience is not just the top managers but stakeholders at all organizational programme levels. From the bottom-up, such stakeholders may include beneficiaries, service providers, administrators, program consultants, support personnel, policy-makers, funding authorities and citizens. The decisions by all stakeholders may include: defining goals and priorities, planning for programmes, and directing programme operations. This approach stresses that institutionalization of M&E systems is not to prove but improve.

Jossey Bass (2001:13), however, cautions the establishment of M&E systems for pseudo/ wrong purposes. He highlighted that the Public Relations Approach aims at developing M&E systems with an intention of wrongly using data to convince constituents that a programme is sound and effective. The public relations approach may meet the standard for addressing all right-to-know audiences but fails as a legitimate evaluation approach, because typically it presents a program's strengths, or an exaggerated view of them, but not its weaknesses. This kind of approach is highly discouraged (Clancy, 1999:501) as its purpose is to a convincing public image for programmes. From the start, studies under this approach seek not a valid assessment of merit and worth but information to help the programme "put its best foot forward".

1.2.3Conceptual Background

Institutionalization of M&E systems is aimed at improving the welfare of individual organizations (Abraham, 2007:3) which includes the development of interventions with clear objectives, timelines, action plans and resources allocated to achieve targets. According to Anderson (2015:6), the ability of an M&E system to support decision-making depends on how well the system is institutionalized and coordinated. According to Holvoet, Gildemyn & Inberg (2012), government M&E systems require appropriate institutional structures for coordination, support, central oversight, and feedback that incorporate different stakeholders. The M&E system comprises key components namely: Internal demand for M&E, institutional design of M&E systems, and clarity and harmonization of M&E roles and responsibilities (Anderson, 2015:7)

Internal demand for M&E comprises government officers demanding M&E information, the nature and extent of their demand and the involvement of Civil Society Organizations (CSOs) in demanding this information. A study by EPAR (2015:7) indicated that M&E systems with high internal demand are characterized by a wide range of stakeholders engaged in strategic planning processes, a focus on reviewing results and performance to inform planning, and high level commitments from the President and Prime Minister. Countries that had high internal demand for M&E included Nepal, Mexico and Chile. Anderson (2015:8) however highlighted a number of challenges such as: limited internal capacity for responding to increased demand for M&E activities; managing the pace and sequencing of M&E reforms to overcome internal resistance; separate systems of monitoring budgets and outcomes make it difficult to incentivize use of M&E; fear that M&E information will jeopardize funding; lack of funding and resources dedicated to M&E; and reliance on donor support. In a study conducted by APAR (2015:9), a

number of counties, namely Rwanda, Colombia, Tanzania, Kenya, Chile, and including Uganda, report that increasing communication with and involvement of stakeholders increases internal demand for and use of M&E information.

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An institutionalized M&E system additionally comprised clarity of the institutional role with an M&E specific plan available. A study on Evaluating County-level Government M&E systems by Bedi (2006) indicated that counties with high clarity of institutional roles had well defined M&E roles and responsibilities among implementing institutions, while those that had medium performance had gaps in the planning and allocation of M&E responsibilities. On the centrally, counties that had no institutional clarity had no clear M&E activities, there were too many actors in a highly dispersed, loosely coordinated system and it was not entirely clear where the overall leadership was located (EPAR, 2015:9). Goldman (2012) also viewed such countries as having overlapping mandates and unclear boundaries for M&E functions among government departments.

Porter and Goldman (2013) considered an institutionalized system as comprising harmonized M&E activities with clearly assigned and implemented M&E roles that are coordinated under a unified government M&E system. A unified M&E system indicates that data collection and reporting activities of the different users of M&E are aligned; therefore implementing offices are not repeating the same M&E activities for different government systems (EPAR, 2015:10)

1.2.4 Contextual Background

At the global level, the M&E systems are highly institutionalized for improved service delivery. In Latin America, a growing number of countries are working to strengthen their government M&E systems to address macroeconomic and budgetary constraints, to improve government

service delivery, and for improved accountability (World Bank and Inter-American Development Bank (2006: xi). Proceedings of the World Bank (2006:3) highlight that Brazil, Chile, Colombia, Mexico and Peru can be considered the leading countries in Latin America, in terms of the progress they have made in institutionalizing their M&E systems. Most of the five countries emphasize whole-of-government M&E systems. Hardlife and Zhou (2013:70) point out that institutionalization of M&E systems is a practice being adopted across the world by organizations to track progress, measure and evaluate outcomes to ensure effectiveness of programmes. Institutionalization of M&E systems has reached different development stages and degrees of maturity in terms of length of experience to improve public sector performance.

According to Mackay (2006:11), Chile has a well performing M&E system managed by the Finance Ministry, with an intensive utilization of monitoring information and evaluation findings which the M&E system produces. Evaluation of Chile's M&E system found that the government's evaluations are used by the Finance Ministry for its resource allocation decision within the budget process, and to impose management and efficiency improvement on sector ministries in the programmes for which they are responsible. However, for the M&E system to be successful there must be a high level of ownership. In addition, Mackay (2006:2) in his Working Paper Series 15: indicated that major milestones in Chile's M&E system include; Ex ante cost-benefit analysis required for all government projects; Performance indicators collected for all government programmes (1994); Comprehensive spending reports; Government programme evaluations; Rigorous impact evaluations (2001); and Comprehensive spending reviews.

In Latin America, the governments of at least 20 countries are currently working to strengthen their M&E systems. One influence on these governments is the demonstration effect provided by those countries with relatively advanced M&E systems, like Chile, Colombia, Mexico and Brazil. Related to this is a common set of economic and social pressures in Latin America. These pressures are the continuing macroeconomic and budgetary constraints; dissatisfaction that growth in government spending in the social sectors has not been matched by commensurate increases in the quality and quantity of services provided; continuing pressures to improve and extend government service delivery and income transfers; and, growing pressures for government accountability and for "social control" (that is, clearer accountability of governments to ordinary citizens and to the congress) (UNICEF, 2009: 172).

In Eastern Europe, countries which have joined the European Union or hope to join are required to strengthen their M&E systems. This is providing further impetus to the trend. In poorer countries, initiatives of international donors such as the World Bank are also influential. The international debt relief initiative for heavily indebted poor countries has required, as a form of donor conditionality, the preparation of poverty reduction strategy papers (PRSPs) by the countries. These are to include an analysis of each country's M&E system, in particular, the adequacy of available performance indicators. PRSPs focus on the extent of the country's success in its poverty-reduction efforts to meet the Millennium Development Goals. However, most poor countries have found it difficult to strengthen their monitoring systems in terms of data production, and especially in terms of data utilization (UNICEF, 2009:172).

Porter (2012:9) established that the institutionalization of M&E systems in Africa is still young with a few having mandates older than 2001, and the majority under study having been set up in the past five years. This is in line with Abraham's (2007:2) assertion that structuring of M&E systems in government institutions in Africa is relatively new. Partly, Mackey (2007:46) attributes this to poverty in most African countries to institutionalize their M&E systems. He however highlights that civil society and parliamentarians are putting accountability pressures on governments to publicize reports and explain their performance. Developing countries in Africa which constantly receive aid are being pressed by developed countries to demonstrate results for the large volumes of funds they receive and are also persuading the African countries to strengthen their M&E Systems.

Other countries such as Zimbabwe are yet to institutionalize their M&E systems. It does not have a standard M&E department; its systems are at the formulation stage; the critical specialist personnel for the M&E function are yet to be recruited; clearcut baseline and performance indicators are also to be established; there is also low note systematic use of evaluation findings from previous programes while its evaluation approaches are skewed towards quantitative. Such overly quantitative approaches carry the risk of sidelining the impact of contextual factors in development programmes and projects (Hardlife & Zhou, 2013:1).

In Kenya, institutionalization of evaluation systems has contributed to the performance of the government by providing information concerning the degree to which the state is meeting its citizen's demands which has enabled accurate sharing of information in support of evidence based policy making, reported achievements in areas of performance contracting, and Sector Working Groups use it in reviewing budget proposals and bidding for budget allocations.

Uganda is striving towards reliable and comprehensive performance information available, and these are used extensively in preparing their national plans and in determining budget priorities (Government of Tanzania; Sentongo (2001:1). However, the country faces at least three key challenges namely: heavy reliance on administrative data whose quality is often poor; an excessive volume of underutilized data is collected; and there is often a plethora of uncoordinated sector and sub-sector data systems (Hauge, 2006:7). Moreover, the World Bank and a number of other donors have agreed to rely on Uganda's national system as the primary source of performance indicators for measuring the performance of their budget support and much of their other development assistance to Uganda.

Porter (2012:9) stated that Uganda would achieve considerable progress in the institutionalization of their M&E system if they harmonized coordination among key sector players in M&E and minimized duplication of efforts. There are however notable efforts to institutionalize M&E systems in Uganda. For instance, there is a system of biannual retreats to review the performance of the government. The prime minister, ministers and top public servants attend the retreat. The retreats review reports and may issue recommendations to inform budgeting processes. The Uganda Evaluation Association was formulated to promote the practice, use, quality and ethics of monitoring and evaluation in Uganda's development process.

1.3 Statement of the Problem

Institutionalization of M&E systems is critical for the achievement of evidence-based policy making, budget decisions, management, and accountability. To measure effectiveness and

efficiency in achievement of desired outcomes, developed counties rely on M&E systems. Hardlife and Zhou (2013:71) argue that there is displeasure in the performance of development interventions in the public sector. Studies generally attribute these scenarios to neglect of the management function, including weak or lack of M&E systems (Kusek, et al, 2004:p.19). In FY 2013/14, the approved Government of Uganda (GoU) development budget for the energy sector was Ug shs 1,926 Billion. All the funds were released and expenditure performance was 96%. Physical implementation of projects on the other hand was 55%; indicating a mismatch between resource allocation and physical performance (Annual Budget Monitoring and Report 2013/14:p.16).

According to the Uganda National Policy on Public Sector Monitoring and Evaluation (2011: ii), the M&E system for achievement of results is inadequate across the public sector in Uganda. Consequently, Government, Parliament and the public are not sufficiently informed on the value for money of public investments, the successes and failures of public programmes, and the lessons, which provide the foundation for reform and development. Public administration has been challenged to effectively measure, analyze, improve and control its own performance. This in part is responsible for the challenges in service delivery (Uganda National Policy on Public Sector Monitoring and Evaluation (2011:p.2.). Creation of a sustainable well-functioning M&E function within government will assist in the use of evidence-based information to assist in resource allocation and improve delivery of government services (Mackey 2007:61). This study thus measured the level of institutionalization of M&E systems in Uganda's Public Sector using the energy sector as a case study.

1.4 Purposeof the Study

The purpose of this study was to measure the level of institutionalization of M&E systems in Uganda's Public Sector using the energy sector as a case study.

1.4 Specific Objectives of the Study

The objectives of the study included:

i. Establish the level of clarity of the vision and purpose of the M&E system in Uganda's energy sector.
ii. Investigate the presence of an enabling environment for the M&E system in the energy sector.
iii. Examine technical capacity and infrastructure to supply M&E information in the energy sector.
iv. Establish presence of infrastructure to demand and use M&E information in the energy sector.

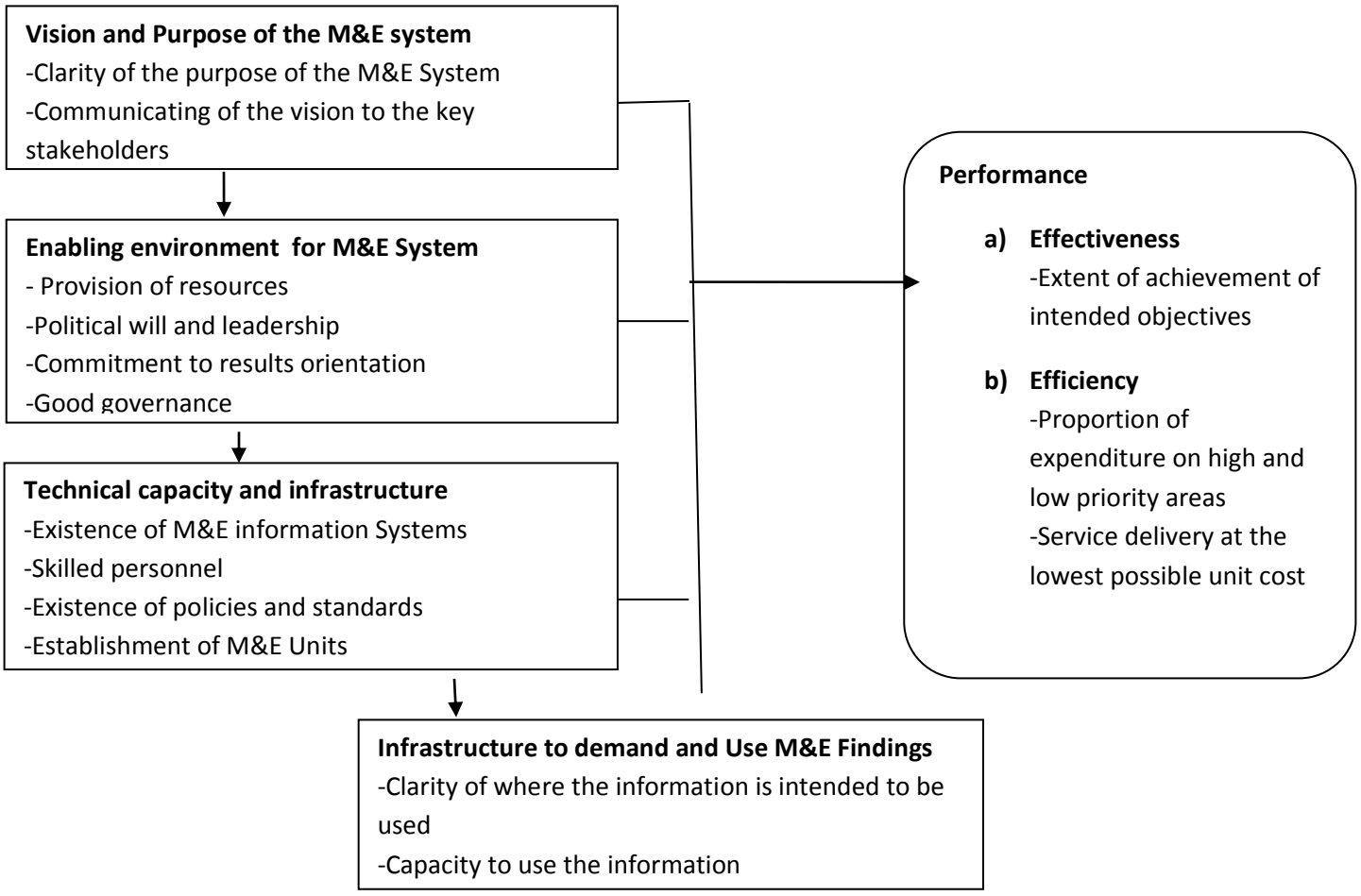
1.5 Research Questions

i) What is the level of internalization of the vision and purpose of the M&E system in the public sector?
ii) Does the public sector provide an enabling environment for the M&E system?
iii) Are skilled personnel and infrastructure available to gather, analyze and report on performance of government policies and programmes in the public sector?
iv) Is the necessary infrastructure to demand and use M&E information available?

1.6 Conceptual Framework

Lehey (2007.4) asserts that the prime foundation pieces for an M&E system are; political will for change; and development of an M&E infrastructure. Political support is needed as a necessary "driver" to launch and resource the M&E exercise, lead the change in organizational culture that may be needed, provide the champions, ensure an enabling environment; deflect resistance to the introduction of M&E and the changes that this may imply; and provide the basis to help ensure that the M&E system is sustainable over the long-term.

Box 1: Link between institutionalization of the M&E system and performance in the public sector



Source: Mackey 2012:10; Author (2016)

The above conceptual framework has been developed by the author with grounded backup from the publication, *National Capacity Development* by Mackey (2012:10). While it is widely known that each country faces its own unique challenges in building an M&E system, the framework provides broad consideration for institutionalization of M&E systems in the public sector and how the level of institutionalization can affect performance of the sector. The framework recognizes the broad set of players that need to be involved in developing an M&E system if it is to be effective and sustainable. It also implies that the government should be able to generate and use performance information that will assist in the improvement of public sector management. This system will in turn lead to improved performance of government programmes. This study was however only concerned with measuring the level of institutionalization and only implications to performance will be formulated based on the outcomes of the study. This implies therefore the study was not relational in nature but rather exploratory.

1.8 Significance of the Study

The study will contribute to a growing body of literature on the institutionalization of government M&E systems. The study established the status of institutionalization of M&E in the public sector and identified best practices from countries whose M&E systems have matured. The recommendations generated from the research should contribute to efforts of increasing the effectiveness and efficiency of public programmes through institutionalization of M&E systems.

1.9 Justification of the Study

The study sought to understand the level of institutionalization of M&E systems in the country. Institutionalization of M&E systems is a necessary condition for effective management of public expenditure. That is why most of the richest countries in the world place considerable emphasis on M&E systems to support good governance (Mackey, 2007: iv). The research aimed to benchmark the level of institutionalization in the country, share best practices from countries that have successful M&E systems in public institutions and provide practical recommendations on how the M&E system can be strengthened to effectively manage public expenditure and improved delivery of programmes.

1.10 Scope of the Study

The research explored the level of institutionalization of M&E systems among Public Sector entities. Focus was on the Office of the Prime Minister which is mandated to commission evaluations on behalf of government; and the Energy Sector, where the researcher has worked extensively. Both institutions are located within Kampala Capital City. The research took a period of two months.

1.11 Operational Definition of key terms and Concepts

Accountability: The obligation to demonstrate and take responsibility for performance in light of agreed upon expectations. The organization should account for its activities, accept responsibility for them, and disclose the results in a transparent manner.

Evaluation: Assessment of government programmes, policies and activities based on systematic and objective measurement and analysis, carried out to meet the expectations set in policy standards and publically reported.

Institutionalization: Putting in place a formalized and structured M&E system creating the provision of an enabling environment for the supply and use of M&E information in decision-making by key policy makers.

Monitoring and Evaluation Systems: A series of policies, practices and processes that enable the systematic and effective collection, analysis and use of M&E information'. Monitoring and Evaluation System implies that a capability within government is created to generate performance information as well as to use performance information in decision-making by government managers.

Political Support: These are the drivers to launch and finance the M&E system, spearhead change in organizational culture; ensure an enabling environment; deflect resistance to the introduction of M&E and changes that might apply; and provide a basis to ensure that the M&E system is sustainable over a long period of time.

Value for Money: An assessment of whether or not a sector has obtained the maximum benefit from the goods and services it acquires and/ or provides, within the resources available to it.

Utilization of results: The usefulness of evaluations. An evaluation should be judged by its utility and how it is actually used.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

The literature review was based on different publications and organized according to the objectives of the study. The key assumption was that having mature M&E systems should lead to improved performance in the public sector. A thorough review was done concentrating on studies that had been conducted globally, regionally and from the Ugandan context in the areas of: a) clarity and vision and purpose of an M&E system; b) enabling environment for the M&E system, c) technical capacity and infrastructure to supply M&E information; and d) infrastructure to demand and use M&E information; which if in place should lead to effectiveness and efficiency of programme implementation in the public sector. This aimed at informing the research objectives and methodology employed in order to guide the study on the measure of institutionalization of M&E in the Public Sector.

2.2 Theoretical Review

The Utilization Focused Evaluation (UFE) Theory guided the study. The theory was developed by Michael Quinn Patton in 2008 based on the principle that an evaluation should be judged on its usefulness to its intended users (Patton and Horton, 2009:1). Therefore evaluations should be planned and conducted in ways that enhance the likely utilization of both the findings and of the process itself to inform decisions and improve performance. According to this theory, the primary intended users of the evaluation must be clearly identified and personally engaged at the

beginning of the evaluation process to ensure that their primary intended uses can be identified. Secondly, evaluators must ensure that these intended uses of the evaluation by the primary intended users guide all other decisions that are made about the evaluation process. Rather than a focus on general and abstract users and uses, UFE is focused on real and specific users and uses. The evaluator's job is not to make decisions independently of the intended users, but rather to facilitate decision-making amongst the people who will use the findings of the evaluation.

Patton argues that research on evaluation demonstrates that: "Intended users are more likely to use evaluations if they understand and feel ownership of the evaluation process and findings and that they are more likely to understand and feel ownership if they've been actively involved (Patton, 2008, 3). Ramirez and Brodhead (2010:7) highlight that engagement of key stakeholders leads to desired outcomes of utilization of evaluation findings. They highlight that presence of a team of evaluators offers support to project implementers, thus ensuring learning. The theory also emphasizes utilization and actual use of evaluation findings as a result of constant consultation with the intended beneficiaries of the evaluation (Patton, 2008:37). Institutionalization of M&E systems is therefore a pre-condition for timely demand and use of evaluations in government (Dhakal, 2014:1). With the M&E systems in place, a number of actors act as enabling environment for proper use of evaluation recommendations in the national policy making and planning process.

Stufflebeam's CIPP Model was also be used to guide the study. According to Stufflebeams (2003:31), the CIPP model helps to improve accountability leading to improved service delivery. The model's underlying theme is not to prove but to improve. The model reviews the Content, Input, Process and Product evaluations. Understanding the level of institutionalization of M & E

would thus lead to system improvements and strengthening in Uganda. The context evaluations access needs, problems and opportunities as bases for defining goals and priorities and judging the significance of outcomes. Input evaluations assess alternative approaches to meeting needs as a means of planning programmes and allocating resources. Process evaluations assess the implementation of plans to guide activities and later to help explain outcomes. Product evaluations identify intended and unintended outcomes both to help keep the process on track and to determine effectiveness.

2.3. Institutionalization of Monitoring and Evaluation Systems and Performance

Institutionalization of M&E systems aims at the establishment of structures among government institutions to ensure that funds provided are used efficiently and achieve the desired outcomes (EPAR, 2015:1). A study by the United Nations Evaluation Group on the National Evaluation Capacity Development (2012:9) indicates that institutionalization of M&E systems leads to improvement in government performance; supports programme implementers in the public sector in monitoring performance of programmes and serves as a learning function by identifying the key issues for policy and programme improvement. The M&E systems also reveal the extent to which government programmes and policies have achieved their objectives. This provides evidence needed to ensure strong accountability to key stakeholders (Mackey, 2010:1). In addition, M&E information especially evaluation findings that explain past performance helps to guide government decisions so that the most effective collection of policies and programmes are adopted in the national budget. The anticipated benefits of the findings of the proposed study in

the Ugandan context are discussed in detail in the building blocks of an institutionalized M&E System below.

Evidence from the study, "Building Better Policies" by the World Bank (2012:4) shows that institutionalization of M&E systems helps managers to monitor outcomes including government service delivery so as to learn quickly what is working and what is not. The M&E system provides an enabling environment for evaluations and reviews identifying reasons for good and bad performance. It ensures strong government accountability. Shah (2007: xvii) highlighted that accountability has potential to improve government service delivery performance and ensure the integrity of public operations. In fact, M&E systems demonstrate capacity in being able to identify problems timely, and ensure that findings and recommendations are directed to the appropriate level before crises are experienced (Ramafoko, 2012:5)

A study on Building M&E systems by Keith Mackay (2012:93) indicates that to strengthen the M&E system in Uganda, the GoU introduced the Government Evaluation Facility (GEF) under the Office of the Prime Minister. The key objectives of GEF are to conduct evaluations of key government policies, and to institutionalize evaluations in government. A National M&E Technical Working Group comprising all MDAs and led by OPM has been established to oversee the operations of the GEF. A sub-committee on evaluation has also been established and is responsible for overseeing all evaluations undertaken by government and projects. The GEF is composed of a two-year rolling Evaluation Agenda, a Virtual Evaluation Fund, a National Evaluation Sub-committee and a Secretariat in the OPM. Specifically, the GEF seeks to design, conduct, commission and disseminate evaluations on

public policies and major public investments, as directed by Cabinet; and to oversee improvements in the quality and utility of evaluations conducted across government at a decentralized level.

Potter (2012:93) highlights an achievement for Uganda with regard to institutionalization of M&E systems. The *Baraza* is one of the most recent M&E initiatives of the GoU that was initiated by the President and launched in 2009 by the OPM. It is a forum where the citizens meet to hold local government officials to account for the resources spent on public programmes. *Baraza*s bring together three major stakeholders; central government (policy-makers), local governments (public service providers) and citizens (public service users). The key challenges that the *Baraza* seeks to address are embedded in the objectives of the initiative, which include establishment of a public information sharing mechanism, institutionalizing downward accountability, instilling a home-grown culture of independent citizens monitoring, and enhancing central government's responsiveness to citizens' development demands and public service delivery concerns.

The *Baraza*s Initiative is achieving its objectives, especially in strengthening the decentralization policy and democratization process. It is proving to be an effective strategy to enhance effective citizens' participation and involvement to influence the local community and national development process. Several notable achievements of the *Baraza*s were reported by key informants. For instance, *Baraza*s are leading to improved and open accountability and a sense of ownership of government programmes by the local communities. The changes that have resulted from *Barraz*as like the transfer of some

technical staff, especially those whom communities have raised complaints against, are signs of achieving the objective of service delivery improvement and accountability.

2.4. Building Blocks to an institutionalized Monitoring and Evaluation System

An institutionalized M&E system comprises critical constituents which when put together achieve the intended purpose (Matefeni, 2009:1). The building blocks of an M&E system include; Clarity of Vision and Purpose of M&E system, Presence of an enabling environment for the M&E system, Presence of technical capacity and infrastructure to supply the M&E system; and availability of technical capacity to demand and use M&E findings (Mackay, 2012:10)

2.4.1 Vision and Purpose of M&E Systems

Mackay (2011:11) highlights that understanding the vision and purpose of an M&E system comprises the knowledge of how M&E information can assist public sector managers, decision makers and the country in moving to achieve its national goals. This requires strategic leadership, a clear understanding of the basic concepts and potential uses on M&E systems. Lahey (2009:7) notes that establishing clarity of the purpose of the M&E system and communicating the vision are important elements at the onset. A study, "Developing an Effective Monitoring and Evaluation System in the Public Sector" (2009:1) indicates that attributes of clarity in the vision and purpose of an M&E system such as an appreciation that evaluation of public programmes; increases effectiveness in performance, provides accountability and transparency on how public monies are used; informs the budget process and the allocation of resources.

The World Bank Group's Public Sector Development Paper (2015:1) indicates that many governments in Latin America and Caribbean have gained increased understanding of the value of institutionalized M&E systems in the assessment of government programmes to attain desired objectives. This comprises an understanding of the role of the system in improving the performance of development interventions including influencing the formulation of better policies. To this end, the M&E system has been popularized by the policy-makers, implementers and non-state actors. This indicates that developed countries recognize the role of M&E systems to provide rigorous and transparent evidence-based rationale for the continuation or termination of programmes. Mackay (2007:85) indicates that countries that accept the institutionalization of M&E systems as a yardstick for success continue to invest in the M&E system for improved service delivery. This will in turn affect the prioritization of the M&E budget. Findings of this study indicated that in Uganda, the M&E budget is yet to be mainstreamed in the structure of public institutions.

CLEAR (2013:9) established that a great majority of governments in developing countries, including Uganda, did not have a clear understanding of the M&E system. They often viewed M&E as a control and policing tool because of how they have been used in the past. Policy makers and implementers were not aware of the role of the M&E system in the achievement of objectives, introduction of policies without conducting readiness assessments, and limited information on ongoing projects. Mackay (2007:85) asserts that such countries do not believe in institutionalization of their systems due to the perceived problems of the reliability of M&E information and weak government demand. Rist (2002:154) in his publication on the implementation of Government Wide Monitoring and Evaluation indicated that in Bangladesh, no leader within government could champion the introduction or use of a results-based M&E

system. Hauge (2001:18) also highlighted that in Uganda, incentives for civil servants are often tied to nominal compliance with reporting requirements, rather than responding to the underlying performance revealed by M&E. To this effect, M&E is not systematically embedded in the GoU's management practices. Most evaluations have been instigated by donors.

2.4.2 Enabling Environment for the M&E system

According to Mackay (2012:11), an enabling environment to institutionalize M&E system comprised a commitment to: launch an M&E exercise and sustain it over the long term, develop the resources necessary for an M&E system, and to allow it to develop and mature; support the values and ethics that underlie a successful M&E system such as transparency, objectivity, accountability and a commitment to a results-orientation and good governance, having strong civil society demanding and advocating for the above values, and for evidence-based policy-making, and willingness and ability to challenge current culture within organizations.

In Uganda, a range of agencies have been assigned the role of M&E of government services. The system, however, does not perform well majorly due to the high level of fragmentation of the M&E across government with significant inefficiencies and overlapping M&E activities. For instance, a health clinic in a remote area was visited by two monitoring teams on the same day - from the Ministry of Health and the Ministry of Finance - and the two teams were not aware that the other would be visiting. A recent assessment of monitoring teams within government by the Ministry of Public Service indicated that at least 12 central government agencies have some role in conducting monitoring of public service provision. As well as duplicating their field visits, government agencies also do not publically release or share the information they have collected

with other agencies within the government, meaning that data quality is reduced and potential economies of scale are not realized. In addition, the recommendations made to government and ministry leaders following the completion of field visits are not always followed up or acted upon, meaning that no tangible improvements are made to services as a result of all the M&E activity being undertaken (Hooft, 2012:1).

A study on the National Evaluation Capacity Development by the World Bank (2012:12) indicates that political support serves to launch and resource the M&E exercise; leads any change in organizational culture; provides the champion(s); ensures an enabling environment; deflects resistance to the introduction of M&E and the changes that this might imply; and helps ensure that the M&E system is sustainable over the long term. It was highlighted, however, that a successful M&E system takes more than political will. The technical hurdles take time to resolve: credible data systems need to be put in place and developed; M&E specialists need training; and managers throughout the system need educating on how and where M&E information will be used. This is generally a lengthy and iterative process and one where continuous learning and improvement through oversight mechanisms is particularly beneficial.

Alefetsane, Lungepi and Tembile (2014:5) educate us that in Africa, evaluation has been on the increase; a trend predicted to continue especially with political recognition of the utility of evaluation to good governance. De Kool and Van Buuren (2004:173) establish that the rise to New Public Management (NPM) which was constructed around key philosophies that emphasized outputs and outcomes, transparency and accountability, created a demand for M&E in Africa. The government of South Africa also has good support for M&E at the ministerial

levels, thus helping its lead evaluation agency advance its agenda. The government of Kenya is highlighted as particularly lacking a champion for its lead evaluation agency, thus, hampering its effectiveness. Similarly, in Ghana, as of 2010, the constitutionally mandated lead M&E agency had less influence with the President than other offices (CLEAR, 2013:9).

Findings from CLEAR (2013:9) revealed that Uganda benefits from having a strong and well placed evaluation champion in the offices of the President and the Prime Minster. Their championing of M&E is reflected in the support that others also afford it and the new M&E initiatives that the OPM has been able to undertake. Basheka and Byamugisha (2015:75), however, highlight that the legal and institutional frameworks for the practices of M&E in Uganda are still weak. In spite of this gap, M&E is growing as a profession as over 30 national evaluation associations under the umbrella body – the African Evaluation Association (AFREA) -- is in existence; and several universities now offer programs in M&E as an academic field of study.

2.4.3 Capacity to Supply M&E Information

Mature M&E systems constitute the technical capacity and infrastructure to carry out M&E related tasks, existence of credible and relevant data (disaggregated such as by sex, age, ethnicity) and information-gathering systems; availability of skilled personnel to gather, analyze and report on the performance of government policies and programmes, including potential partners within the country, such as universities, research institutes, think tanks; a National Statistical Agency (NSA) to facilitate a national data development strategy and assist ministries

and agencies in capturing and storing data; infrastructure to ensure a systematic, comprehensive and credible approach to M&E. This would include policies and standards intended to: clarify roles, responsibilities and accountabilities for performance monitoring and evaluation; establish expectations across the system for evaluation, monitoring and timing, and a high level of performance reporting; and set out quality standards for conducting M&E; and organizational structure to conduct and/or manage M&E exercises (Mackay 2012:11).

Khan (2003:8) notes the absence of an efficient and effective M&E system to keep track of development programmes and gauge its performance at various stages of implementation essentially to ensure the delivery of quality service to the community and provide feedback to planners for the future. This is more common in developing countries. Technically, the M&E system is supposed to be a part of the national and organizational planning; however, lack of emphasis has somewhat sidelined this function, restricting it to periodic reporting in many forms and shapes with fancy presentations of figures and graphics and without thorough analysis and future guidelines. As a result, planners are left to guess whether to build upon the existing work or introduce a shift in policies and programmes.

In addition, many organizations underestimate the importance of regular monitoring and evaluation in their development operation. The thrust of work is normally on project development and implementation in areas where funding is available through national or international sources. The process is activity and output oriented. In most cases, regular progress reporting is also conducted for donor purposes that gives an account of activities undertaken and immediate outputs, but misses out on qualitative information as to whether the objectives of the

programme are being achieved or fall short at the end of the project. Neither does it integrate into the overarching national development objectives.

CLEAR (2013:11) established that governments had insufficient number of personnel dedicated to M&E and insufficient levels of M&E expertise among their M&E staff. Government entities, especially at the local level but also in some line ministries, lacked the infrastructure necessary to establish and maintain M&E systems. In some cases, government entities lack databases and the capacity to manage them. Budgets for monitoring, evaluation and related capacity building efforts were also described as insufficient. Where more specific information about budgets is available, it is often noted that only small portions of M&E budgets are spent on evaluation, with the vast majority dedicated to monitoring. Of the amounts dedicated to monitoring, the bigger part is spent on capacity building and field visits, rather than data collection, management, analysis, reporting and dissemination.

In Uganda, where government M&E systems exist, the studies reveal challenges with their implementation. The lead M&E agency has difficulty receiving quality and timely data and information from other parts and levels of government. In many cases, because of its own limited budget and resources, the lead M&E agency is dependent on others to provide data and relies on goodwill, rather than explicit authority to encourage compliance. There is also lack of sufficient numbers of skilled M&E personnel to gather the required data, and weak management information systems make storing and sharing data difficult (CLEAR, 2013:11).

Potter (2012:180) highlights the context of supply of M&E information in Uganda. Routine monitoring and social research were a more common form of assessment. Impact

evaluations were often done through a before-after approach, where outcomes are typically measured at just one point in time before programme implementation then at another point in time after implementation. Administrative data is drawn from various sources by government institutions in the course of fulfilling their mandates and implementing policies. The system was associated with a number of challenges. For instance, the data collected mainly included output and outcome information useful for strategic and annual performance plans/budgets tools. However, it hardly benefitted from periodic revision to align it to contextual and policy changes. However, the quality of administrative data, in terms of accuracy, validity, timeliness and completeness is still low. A good number of indicators do not measure actual performance but processes, for example: "number of workshops/meetings attended", while targets are often set unrealistically high or low in many sectors. Many institutions do not have operational Management Information Systems for collection, storage and retrieval of data. Further, many institutions lack requisite technical capacities to compile, maintain and update the databases.

A study by Hauge on the technical capacity to supply the M&E Systems in Uganda (2012:180) revealed that, professional capacity in terms of skills and experience in M&E is scattered in various MDAs and Non-Government Organizations (NGOs) all over the country. Whereas some MDAs, notably Uganda Bureau Of Statistics (UBOS), Ministry of Health, Ministry of Education and Sports, and Uganda Revenue Authority have fully-fledged databases and relatively high quality data that are periodically collected, stored, analyzed and disseminated, the capacity for data management is generally low for most MDAs. Most

MDAs remain dependent on the UBOS for collection, analysis and presentation of statistics from which they can generate information for use in policy and operation. Most MDAs face both manpower and financial resource constraints to undertake sustained data collection and maintenance of a meaningful database. Economists and statisticians at MDA levels are already burdened with other responsibilities and do not have both the time and resources to collect comprehensive data on desired phenomena from time to time. The Information Technology (IT) infrastructure in most MDAs remains poor with most computers in offices and departments not networked. As a result, pieces of scattered data remain uncoordinated, non-synthesized and unpublished for the knowledge and use of the public. This scenario is exacerbated by a lean function of M&E framework in most MDAs.

2.4.4 Capacity to Demand and Use M&E Information

In a study on the Growing Demand for M&E in Africa, Porter (2012:7) established that when decision-makers wish to use evidence from M&E systems to assist them in making a choice, a demand for M&E is generated. When the capacity to supply M&E information is high but capacity on the part of the decision-makers to demand quality evidence is low, supply and demand are mismatched. In this context, Piccioto (2009:1) observes, "Monitoring masquerades as evaluation". The paper finds that monitoring is still dominant, but there is evidence of increasing evaluation practice and endogenous demand from African governments for country-led M&E systems that are majorly donor-driven and some country-led demands. However, there is a narrow interpretation of results-based management that focuses on accounting or *contrôle* and less on development.

Mackay (2012:11) highlights that to ensure success of M&E systems, the capacity within government institutions and civil society organizations to incorporate and use should be developed. In addition, M&E information should be part of the normal process of business. It requires that governments and civil society stakeholders should be clear about where and how M&E information can and will be used within government (such as planning, policy or programme development, decision-making, budgeting). This can evolve over time. It also implies that non-technical personnel (for instance, programme managers) and civil society organizations have an appreciation of M&E concepts and use of M&E information. The system requires adequate incentives within organizations to ensure that managers use M&E information, and report credible information in a timely fashion. Other attributes include: reinforcement of the need within organizations for formal or informal mechanisms and forums for reporting and sharing M&E information; laws governing access to information would increase transparency; and the potential for M&E information to be made available to the media, civil society, etc., and facilitate their participation in the national system.

The Centre for Learning on Evaluation Results (2012:7) notes that government evaluation systems in the majority of African countries are either in an early stage of development, or are not being developed at all. However, Benin, South Africa and Uganda were noted to be formalizing their systems with high demand for evaluations. In spite of this development, this demand is not permeating throughout the planning, budget and M&E systems.

CLEAR (2013:9) noted that demand and use of M&E information was low in Botswana, Malawi and Zimbabwe. On the other hand, countries like Uganda, Ghana, Kenya, Rwanda, and South

Africa had their constitutions establish demand for M&E information. Uganda, Kenya and South Africa, have developed National Evaluation policies. These policies are supporting efforts aimed at increasing M&E capacity and promoting the use of evaluation results. Uganda and South Africa have set evaluation standards to establish quality assurance. In Uganda, with the approval of the evaluation policy, an institutional framework for national M&E is under development, as well as harmonization of the roles, responsibilities and relationships of public institutions involved in M&E. This is because currently, there is an overlap in the mandates given the number of institutions involved in M&E.

A report on Demand and Supply of M&E Information (2013:9) revealed that in the majority of African countries, monitoring information was more prominent compared to evaluation information. Information timelines and quality affected its use, as did the policy-makers' capacity to interpret the information provided. Kenya, South Africa and Uganda were noted to use M&E information to improve performance. For example, the case study of Kenya describes how the Ministry of Immigration and Registration of Persons uses M&E information to improve its performance and how the Ministry of Finance uses monitoring information to track and fix leakages in finances.

On the contrary, findings from Potter (2012:180) revealed that limited utilization of M&E data is a common phenomenon. The policy-level demand of M&E products for decision-making is still low and the culture of managers seeking M&E data to improve performance is still evolving. The incentive framework is also still weak to drive M&E practices in public service systems. Limited utilization is attributed to poor methods of information dissemination and the inability of the institution to build capacity for the timely generation and distribution of information.

Nonetheless, there is an increasing demand for accountability and evidence by decision-makers at central and local government levels due to sensitization and understanding. At the central level, the Government Annual Performance Report has become a critical output for measuring performance of sectors against agreed targets in Uganda. There are also indications that evaluations are starting to be utilized by proegramms and projects to assess their impact and review the design of on-going interventions.

2.5 Empirical Studies

According to Mackay (2012:24); a number of governments have devoted the effort necessary to build high-performing M&E systems. Examples of five countries with institutionalized M&E systems are: Australia, Chile, Colombia, the United States and Canada. Kusek and Rist (2004:27) indicate that the large majority of developed countries have institutionalized M&E systems. However, they highlight that arriving there was neither easy or a linear process.. Lehey (2007:1) highlights some of the success factors of an M&E system such as: capacity building of the M&E players, the need to recognize a broad set of sector players that need to be involved in developing M&E systems, and the need to recognize the importance of positioning M&E within a broader context than just a technical one, including recognizing the political support factors needed to launch and sustain an effective M&E system.

In Australia, the government evaluation system was managed by the Department of Finance (DoF), and it required ministries to evaluate every program every three to five years. The line ministries themselves conducted the evaluations, but they were overviewed by the DoF and other

central departments. By 1994, almost 80 per cent of new spending proposals in the budget process relied on evaluation findings, usually to a significant degree. About two-thirds of savings options also relied on evaluation findings. The DoF officials, who attended the Cabinet meetings that considered these budget proposals, judged that this information was highly influential on the Cabinet's budget decision-making. The Australian National Audit Office found that line departments also used this information intensively, particularly to help improve their operational efficiency (Mackay 2012:25). There is need for Uganda to pick such good lessons by addressing its inefficiencies, duplication of its M&E activities, and lack of followup of recommendations as highlighted by Hooft (2012:1).

Experience from Chile indicated that the Ministry of Finance (MoF) commissions evaluations externally to academics and consulting firms, and it uses standardized terms of reference and methodologies for each type of evaluation. MoF officials use the M&E findings intensively in their budget analysis of the performance of each ministry and agency. The ministry also uses the information to set performance targets for each agency and to impose management improvements on both ministries and agencies. The MoF carefully oversees the extent to which each ministry implements these management improvements (Mackay, 2012:24).

In Colombia, the National Planning Department manages the government's M&E system - SINERGIA. The system includes information for 500 performance indicators, as well as a number of rapid and impact evaluations. The president has used the information provided by SINERGIA intensively in his monthly management control meetings with each minister, and in his weekly town hall meetings in municipalities around the country. Findings on the

institutionalization of M&E systems in the United States indicate that in 2002, the government created the Program Assessment Rating Tool (PART), building on earlier efforts to measure government performance. The performance of all 1,000 government programmes have been rated using the PART methodology, and PART ratings are required to be used by departments in their annual budget funding requests to the Office of Management and Budget (OMB). The requests must highlight the PART ratings, the recommendations for improvements in programme performance, and performance targets. The OMB, in turn, also uses the PART ratings when it prepares the administration's funding requests to Congress, and to impose performance improvement requirements on departments(Mackay 2012:25).

Developing countries, on the other hand, were highlighted as having weak M&E systems (Kusek and Rist, 2004:32). A key constraint to successful monitoring and evaluation systems in Sub-Saharan Africa was lack of demand for ownership of the system. Lack of ownership is rooted in the absence of the evaluation culture which stems from the absence of performance orientation in the public sector (Schacter, 200:15). For demand to take place, a minimum of interested stakeholders and commitment is necessary for such a system to be established and take hold in the country.

The Centre of Learning on Evaluations highlights Uganda as one of the countries with well-developed M&E systems. In South Africa, Benin and Uganda evaluation functions are linked back into the political decision-making structures. In Kenya and Ghana there are processes where Annual Progress Reports can feed into budget decision-making processes,

The GoU has recognized the importance of institutionalizing M&E systems (Hauge, 2001:8). Monitoring and evaluation systems in Uganda are however fragmented, with multiple government and donor planning and progress reporting formats. Policy formulation, work planning and budgeting are undertaken as separate exercises at the sector and district levels. With a proliferation of different funding arrangements, officials are burdened with a large volume of reporting but have little systematic information about effectiveness of actual public service delivery. The study highlighted that GoU has recognized the importance of improving results orientation and has defined the effectiveness of public service delivery as its highest priority. Ongoing initiatives to introduce output-oriented budgeting, results-oriented management and pay reform deal with improving the quality of government. These initiatives have, however, often been approached from the perspective of narrow departmental responsibilities rather than comprehensive goals and government-wide ownership. There is a need for much closer alignment and coordination, particularly in respect of reform of the Medium Term Expenditure Framework (MTEF) budget format, public service conditions and decentralization efforts (Hauge, 2001:7).

2.6 Synthesis and Gap analysis

The literature review revealed that establishing an M&E system involves a combination of building blocks that do not operate in isolation but complement each other to generate a functional M&E system. A number of studies indicated that Uganda had developed its M&E systems while others indicated that the country is at infancy stage facing a number of challenges in developing its M&E system. None of the studies reviewed has measured the level of

institutionalization of the M&E system in the country. This study therefore aimed to address the knowledge gap and contribute to the available remedies on evaluation capacity development.

CHAPTER THREE

METHODOLOGY

3.1 Introduction

This chapter presents the procedure followed in conducting the study. It covers the research design, study population, determination of the sample size, sampling techniques and procedure, data collection methods, data collection instruments, pre- testing the validity and reliability of the instruments, procedures of data collection, and data analysis.

3.2 Research Design

According to Vaus (2001:1), research design refers to the strategy of integrating different components of the study in a coherent and logical way to effectively address the research problem. In this study, exploratory research was adopted to understand thoroughly the level of institutionalization of M&E system in the public sector as advised by Vaus (2001:1). Both qualitative and quantitative data collection methods were employed. Key informant interviews were employed to acquire in-depth information on the building blocks of the different constituents of an institutionalized M&E system. Quantitative methods were also employed to complement and validate information generated from key informant interviews.

3.3 Study Population

The population in this study was public sectors in Uganda, with the energy sector chosen as the case study. Selection of the energy sector was made as there was willingness by the respondents to be interviewed by the researcher as guided by Fowler (2002:24) and expertize in the sector.

In addition, key informant interviews were held with the Commissioner of Evaluations from the OPM which is mandated to coordinate and manage evaluations on behalf of government. The office provided a general overview on the institutionalization of M&E systems in the country. Sample categories studied were; One Chief Executive Officer (CEO) from Uganda Electricity Transmission and Construction Company (UETCL), five directors heading the energy subsector, petroleum subsector and UETCL; 20 commissioners and assistant commissioners heading departments in the energy sector, and 42 technical staff majorly at the level of Principal. To triangulate the findings, heads of sections from the Office of the President (OP) and staff from the OPM were interviewed.

3.4 Determination of the Sample Size

The actual sample size that was studied was 118 respondents including the 14 respondents from BMAU used in the pretesting. The sample size represents the entire top management, senior staff of the energy sector, the OPM, OP and BMAU. Table 3.4.1 illustrates the determination of the sample size.

Table 3.4.1: Sample Size of the Respondents

Category of Respondents	**Targeted Population**	**Sample Size**	**Sampling Strategy**

Chief Executive Officer	1	1	Purposive Sampling
Directors	5	5	Purposive Sampling
Commissioners/ Managers	20	20	Stratified Random Sampling
Technical Officers (Principal and Senior Level)	80	66	Stratified Random Sampling
Senior Officers from M&E Unit/ OPM	7	7	Purposive Sampling
Totals	113	99	

Source: Researcher

3.5 Sampling techniques and procedure

The top management was purposively selected while stratified sampling procedures were employed for the technical staff and administration as highlighted by Berkowitz (2007:3), in his publication, "Overview of Sampling Procedures". The respondents that were purposively selected possess the highest degree of knowledge in the subject matter; while those that are randomly selected from the strata of interest have similar characteristics such as being senior staff and are therefore representative.

3.6 Data Collection Methods

Both qualitative and quantitative data collection methods were employed in order to benefit from the rich and in-depth knowledge of key informants in the subject matter, while yielding accurate and objective information from other randomly selected respondents as emphasized by Kinder (2002:27). Using the triangulation method, the researcher was able get a deeper understanding of the level of institutionalization of M&E systems in the public sector. Key informant interviews were held with the top management, senior staff and administration of Ministry of Energy and Mineral Development (MEMD).

3.7 Data Collection Instruments

A structured questionnaire and interview guide were used to collect data. The structured questionnaire guided the respondents to avoid ambiguity and for easier data analysis. An interview guide was employed to get in-depth information on the subject matter especially from top management.

3.7 Pre-testing (Validity and Reliability)

According to Kimberlin and Winterstein (2008:1), the key indicators of the quality of a measuring instrument are the reliability and validity of the measures. The researcher pre-tested the instruments using the Ministry of Finance, Planning and Economic Development as the target population. The BMAU was purposively selected as they have relevant knowledge in the subject matter and are within the proximity of the research (Bartlett 2013:15). The senior staff of the BMAU were subjected to the structured questionnaire and interview guide.

The responses of the BMAU staff gave relevant feedback to the researcher on how to improve the instrument to attain validity and reliability. Findings the BMAU staff indicated that M&E systems were institutionalized in the Ministry of Finance, Planning and Economic Development (MFPED) whereby: 100% showed that they clearly understood the vision and purpose of M&E systems in the country; 72% of respondents highlighted availability of the legal; 72% of respondents highlighted the presence of an enabling environment for M&E in the ministry; 100% of the respondents highlighted the availability of staff to conduct the M&E function. The majority of the respondent (76%) however indicated that the demand and utilization for M&E information was low.

3.7 Procedure of Data Collection

After defense and approval of the research proposal by UTAMU, the researcher got an introductory letter from School of Business Management to undertake data collection in the field. The data collection instruments were pre-tested. The researcher then scheduled appointments with the different officers in the MEMD. The researcher presented an introductory letter to the different senior management officers of the ministry upon which she held interviews with the relevant officials on the subject matter.

3.9 Data Analysis

Quantitative data from the questionnaires was arranged, coded and entered using micro soft access and excel to generate tables to convey meaning from the different responses of the Likert Scale provided. SPPS was also used in the generation of chi squares in testing of the hypothesis. Qualitative data on the other hand was generated through interviews using an open ended interview guide. The questions were structured around the objectives of the study and helped to substantiate findings from qualitative data. The data was coded, structured and generated the themes to guide in the presentation of findings. Some themes and appropriate responses from the key informant interviews were used to support the quantitative findings in form of direct quotations from the respondents.

3.10 Measurement of Variables

Measurements increase the level of credibility of results. Nominal measurements of assigning numbers to common sets of characteristics, purposely for identification purposes were used on background questions such as: sex, age, designation, and institution. Ordinal measurement that refers to assigning numbers to categories for purposes of ranking them so as to measure the level of institutionalization of the M&E systems in Uganda were also used (Amin, 2005). Considering the nature of the research, the Likert Scale was used. This scale ascribes quantitative values to qualitative data to enable statistical analysis. Responses to indicate the amount of acceptability

such as Strongly Agree (SA), Agree (A), Neutral (N), Disagree (D), and Strongly Disagree (SD) helped to draw conclusions on the level of institutionalization of the M&E systems.

3.11: Ethical Considerations

The researcher secured a letter of introduction from UTAMU which provided appropriate identification of the researcher and the purpose of the research. The researcher ensured confidentiality, the respondents participated willingly, and the purpose of the research was declared to the respondents. The researcher adhered to the necessary guidelines of the University regarding the research.

CHAPTER FOUR

PRESENTATION, ANALYSIS AND INTERPRETATION OF RESULTS

4.1 Introduction

The chapter presents the analysis and interpretation of results according to the building blocks of an institutionalized M&E system which form the specific objectives of the exploratory study. The study measured the level of institutionalization of M&E systems in Uganda's public sector, with focus on the energy sector. The findings of this study combined both quantitative and qualitative research using a questionnaire and key informant interviews. Respondents interviewed were majorly from the energy sector. However, for validation of results, surveys and interviews were also held with senior officers from the Monitoring Departments of the OPM and OP. Findings have been presented in form of tables, bar graph and, where necessary, narratives have been provided.

The first section presents the response rates. The second section presents the background information of the respondents. The third section presents the statistical results according to the study objectives.

4.2 Response Rate

According to Leeuw (2008:10), establishing the response rate is very important and should not be left to chance in order to produce accurate and useful results. The study achieved a response rate of 75.7% from a purposive sample of 75 senior government officers, specifically those at the level of principal, commissioner, manager and director, and a Chief Executive Officer out of the initial sample of 99 respondents. Twenty-four per cent of the senior officers were deliberately left out as they could not ably conceptualize issues

of an institutionalized M&E system. The sample was representative of the actual population and could therefore be generalized (Mugenda and Mugenda, 1999). Table 4.3.1 shows the response rate of the respondents.

Table 4.3.1: Response Rate for Different Categories of Respondents

Category of Respondents	**Targeted Population**	**Sample Size**	**Response**	**Response Rate**
Chief Executive Officer	1	1	1	100%
Directors	5	5	5	100%
Commissioners/ Managers	20	20	20	100%
Technical Officers (Principal and Senior Level)	80	66	42	63.6%
Senior Officers from M&E Unit/ OPM	7	7	7	100%
	113	99	75	75.7%

Source: Researcher

4.3 Background Information of the Respondents

This section presents the demographic characteristics of the respondents with reference to sex, institution and designation. This was necessary for the determination of whether the individuals in the study are a representative sample of the target population for generalization purposes. It also helped to ensure that the sample that participated in the study provided relevant information, therefore determining the accuracy and representativeness of information drawn from the sample to the population. Table 4.3.2 shows the gender of the respondents.

4.3.1 Gender of the Respondents

The table below presents summary statistics on the gender of respondents to establish the gender distribution.

Table 4.3.2: Gender of Respondents

Gender	**Frequency**	**Percentage**
Male	59	76.7
Female	16	21.3%
Total	75	100

Source: Field Findings

Table 4.3.2 shows that the majority of the respondents were male (76.7%), with only 21.3% being females. These results show that the males dominated most senior government positions as compared to their female counterparts.

4.3.2 Institutions of Affiliation of the Respondents

Table 4.3.2.1 presents the summary statistics on the departments and agencies of the respondents within the energy sub-sector and other institutions mandated to conduct M&E in the country.

Table 4.3.2.1: Institutions of Affiliation of the Respondents

Institution	No. of Respondents	%
Chief Executive Officer- UETCL	1	1.3
Directorates of Energy Resources, Petroleum Exploration; Refinery, Petroleum Supplies, and Office of the President	5	6.6
Commissioners and Assistant Commissioners from MEMD, UETCL, OPM and OP	20	26.6
Principals from MEMD, Petroleum Exploration and Production Department, UETCL, OPM and OP	42	56
Senior officers from OPM	7	9.3
Total	75	100

Source: Researcher

As shown in Table 4.3.2.1 above, focus of respondents was among the senior government staff. The majority of the respondents were at the levels of Principal (56%), and Commissioner (26.6%). The senior officers specifically from the OPM represented 9.3%; with directors at 6.6% while the CEO comprised 1.3% of the sample. All respondents interviewed had sufficient knowledge on the subject matter.

4.4 Building Blocks of an Institutionalized Monitoring and Evaluation System

The key assumption in the study was; "An institutionalized M&E system leads to improvement in government performance". The study aimed to measure the level of institutionalization of M&E systems in Public Sector. The objectives of the study were therefore constructed around the building blocks of an Institutionalized M&E system. These included: a) Clarity of vision and purpose of the M&E system; b) Presence of an enabling environment for the M&E system; c) Capacity to supply M&E information; and d) Capacity to demand and use M&E information.

The findings were derived through surveys and key informant interviews with senior government officers that were knowledgeable in the subject area. In the questionnaire, participants were asked to indicate their level of acceptability with a number of statements in line with the objectives of the study using the Likert Scale of responses: Strongly Agree (5); Agree (4); Neutral (3), Disagree (2); and Strongly Disagree (1). To triangulate the findings, qualitative discussions were held to have a deeper understanding on the opinions of senior government officers regarding the institutionalization of M&E systems in the Public Sector.

4.4.1 Clarity of the Vision and Purpose of the M&E system

This objective aimed to examine whether the key public sector managers and decision-makers have a clear understanding of an M&E system and its potential use to the country. The responses are summarized in Table 4.4.1.1 below.

Table 4.4.1.1: Clarity of the Vision and Purpose of the M&E system

	N	**%**	**N**	**%**	**N**	**%**	**N**	**%**	**N**	**%**	**M**
CLARITY OF VISION AND PURPOSE OF THE M&E SYSTEM	**SA**		**A**		**N**		**D**		**SD**	**0**	
M&E systems help to increase	58	77	17	23	0	0	0	0	0	0	4.77

	N	%	N	%	N	%	N	%	N	%	M
CLARITY OF VISION AND PURPOSE OF THE M&E SYSTEM	**SA**		**A**		**N**		**D**		**SD**	**0**	
effectiveness of public programs											
M&E Systems provide more accountability on how public monies are used	47	63	20	27	8	11	0	0	0	0	4.52
M&E provides more transparency on how public monies are used	47	63	20	27	8	11	0	0	0	0	4.52
M&E informs budgetary process	33	44	31	41	9	12	2	3	0	0	4.27
M&E plays an important role in the allocation of resources	32	43	34	45	5	7	4	5	0	0	4.25
M&E helps in the assessment of the effectiveness of an intervention leading to achievement of intended objectives	54	72	21	28	0	0	0	0	0	0	4.72
Policy makers and implementers are aware about the role of M&E in the achievement of development outcomes	15	20	26	35	17	23	17	23	0	3	3.52
The public sector appreciates that evaluations have improved the efficiency of ongoing programs	14	19	24	32	24	32	11	15	2	3	3.49
Institutionalization of M&E systems helped formulate future policies	18	24	27	36	20	27	8	11	2	0	3.68
Monitoring and evaluation provides a rigorous rationale for continuation of programs	39	52	29	39	5	7	2	3	0	0	4.40
Monitoring and evaluation provides a rigorous rationale for termination of particular programs	29	39	26	35	14	19	6	8	0	0	4.04
The implementers understand that M&E information can assist in improving performance of public sector	29	39	30	40	12	16	4	5	0	0	4.12
Key stakeholders understand that M&E information can assist in improving performance of public	16	21	34	45	21	28	4	5	0	0	3.83

	N	%	N	%	N	%	N	%	N	%	M
CLARITY OF VISION AND PURPOSE OF THE M&E SYSTEM	**SA**		**A**		**N**		**D**		**SD**	**0**	
sector											
There is ownership of the M&E information by the stakeholders in decision making	21	28	28	37	20	27	6	8	0	0	3.85
Monitoring and Evaluation findings help in decision making	37	49	30	40	6	8	2	3	0		4.36
The M&E system in place links to the National Development Plan	27	36	22	29	20	27	4	5	2	3	3.91
The information from M&E is used for debate on public policies	20	27	24	32	25	33	4	5	2	5	3.75
Monitoring and evaluation is prioritized to improve program effectiveness	20	27	20	27	19	25	12	16	4	0	3.53
High level champions believe in the M&E system	21	28	32	43	15	20	7	9	0	0	3.89
Country efforts to strengthen the M&E system can be a catalyst for improved public sector reforms	52	69	19	25	4	5%	0	0	0	3	4.64
There is full public disclosure of evaluation findings	13	17	22	29	24	32	14	19	2	0	3.40
The citizens have a right to M&E information	33	44	25	33	6	8	11	15	0	5	4.07
Citizens actively participate in decision making based on information provided	9	12	16	21	28	37	18	24	4	0	3.11
Percentage Mean score		**40**		**33**		**18**		**8**		**1**	**4.03**

Source: Field Findings

A total of 73% of the respondents indicated a clear understanding of the role of M&E in the achievement of development objectives. On average, respondents appreciated that M&E systems are important in the achievement of intended results (4.03). The M&E system was majorly

appreciated to: increase effectiveness of public programs (4.77); help in the assessment of the effectiveness of an intervention leading to achievement of intended objectives (4.72); provide more transparency and accountability on how public monies are used (4.52). This indicates that there is an increasing understanding by the senior public officers of the value M&E systems in the assessment of government programmes to attain desired objectives.

In spite clarity of vision and purpose of the M&E system, there was a neutral response about; citizens' active participation in decision-making based on information provided (3.11); public disclosure of evaluation information (3.40); awareness that evaluations have improved the efficiency of ongoing programmes (3.49); awareness of policy-makers and implementers about the role of M&E in the achievement of development outcomes (3.52); Prioritization of M&E information (3.53), utilization of M&E information for public debates (3.75). This indicates that in spite of the appreciation of the role that M&E systems play, its actual implementation is passive in nature. This finding was complemented by key informant interviews with the Energy Sector Planning Unit which indicated that:

"There is recognition of M&E in the Country. However, actualization is minimal with a few sectors such as health, and education having fairly good M&E systems in place. Actualization of M&E systems in most institutions is weak. The M&E function is passive in the public sector. People talk about it but they do not do it. They generate good indicators but these are not followed up."

To further strengthen the findings, hypotheses were tested using a chi-square, with the null hypothesis (H_o) stated as: there is non-clarity of the purpose and vision of the M&E system, and

alternative hypothesis (h_a) stated as: there is clarity of the purpose and vision of the M&E system. This is shown in table 4.4.1.2

Table 4.4.1.2: Chi-square Results on Clarity of Vision and Purpose of M&E System

Taking our p-value to be 0.05						
	OBSERVED	EXPECTED	Chi-square value	Probability (P)	Compared to p-value	Conclusion
OBJECTIVE ONE	54.82609	41.11957	4.56884058	0.05<P<0.025	smaller	reject the null hypothesis
We fail to reject the null hypothesis because the probability of it being true is lower than our critical value (p-value) of 0.05. That means that the vision & purpose are NOT clear.						

Source: Field Findings

The results from the chi-square concurred with some sections of the Likert scale which indicated lack of knowledge on the existence of the clarity and vision of M&E systems in the country. This therefore recognizes that there is an increased understanding of the role of M&E systems. However, these systems have not been actualized in terms of: utilization of the data in decision making partly due to limited disclosure of evaluation information, and utilization of the systems to formulate future policies. There is therefore a big gap between appreciation of the M&E systems by senior public officers and actual implementation of M&E systems. The findings were consistent with the Annual Government Performance Report (2014/15), where the Energy Sector achieved 38% outputs against the set targets.

4.4.2 Enabling Environment for the M&E System

This objective aimed to establish the government's commitment to launch an M&E exercise and sustain it over the long term by providing the necessary funds for the M&E system. Respondents

for this section were specifically from OPM and OP who are mandated to conduct M&E for the country. Table 4.4.2.1 shows the enabling environment for the country M&E system.

A total of 86% of the respondents from OPM and OP were in agreement that there was an enabling environment for the M&E system in the country. Results further highlighted that Uganda has a functional M&E system overseen by the OPM (5.00); there is a broad legal mandate to conduct evaluations (4.93); and the roles and responsibilities of the main actors in the M&E functions were known to the relevant players (4.79). In addition, findings highlighted a high level of commitment from senior officials at the ministry to implement the M&E system (4.64), and high level support to implement the M&E system.

Table 4.4.2.1: Enabling Environment for M&E System in Public Sector

	N	%	N	%	N	%	N	%	N	%	M
ENABLING ENVIRONMENT FOR M&E SYSTEM	SA		A		N		D		SD		
There is a functional M&E system in the OPM	14	100	0	0	0	0	0	0	0	0	5
Evaluation consultants to conduct evaluations are selected through open bidding process	11	79	0	0	3	21	0	0	0	0	4.57
Consultants to conduct evaluations are selected internally from the ministry staff	8	57	1	7	0	0	5	36	0	0	3.86
Consultants to conduct evaluations are selected through internal adverts	5	36	4	29	0	0	5	36	0	0	3.64
The roles and responsibilities of the main actors in M&E (MFPED, OPM, Office of the	12	86	1	7	1	7	0	0	0	0	4.79

	N	%	N	%	N	%	N	%	N	%	M
ENABLING ENVIRONMENT FOR M&E SYSTEM	SA		A		N		D		SD		
President) are clearly known											
There is a high level of commitment from senior officials at the ministry level to implement the M&E system	9	64	5	36	0	0	0	0	0	0	4.64
There is a high level of support from the senior officials at the ministerial level to implement the M&E system	10	71	3	21	1	7	0	0	0	0	4.64
There is a broad legal mandate to conduct the evaluations	13	93	1	7	0	0	0	0	0	0	4.93
There is political will to champion evaluations	9	64	3	21	2	14	0	0	0	0	4.5
The oversight body has a high degree of independence to disseminate the findings	10	71	1	7	3	21	0	0	0	0	4.5
The oversight body has enforcement capabilities to enforce the adoption of recommendations	7	50	6	43	0	0	1	7	0	0	4.36
Mean percentage score		70		16		6		7	0	0	4.49

Source: Field Findings

Table 4.4.2.2: Chi-square Results on enabling environment for M&E system in Public Sector.

Taking our p-value to be 0.05					

	OBSERVED	EXPECTED	Chi-square value	Probability (P)	Compared to p-value	Conclusion
OBJECTIVE TWO	12.090909	6.65	4.45165289	0.05<P<0.025	smaller	reject the null hypothesis
We reject the null hypothesis because the probability of it being true is lower than our critical value (p-value) of 0.05. This means that there exists an enabling environment for M&E system in Public Sector.						

Source: Field Findings

Results from key informant interviews outside the mandated institutions, however, indicated lack of knowledge on the presence of M&E systems in the country. Ninety-seven per cent of respondents from the energy sector were not aware of the institutional mandate of the OPM to conduct M&E in the county and lacked knowledge on the availability on an M&E policy in the county. In this regard, some of the key statements from the interviews included:

a) *"I am not aware about the institutionalization of M&E systems in the country, but M&E is vital,"* Manager UETCL.

b) *"M&E is spread thin. Institutionalization is weak as it is not even clear who is particularly mandated to conduct M&E. Is it OPM, is it MFPED? Even in institutions, it is an added activity"* Principal Officer, MEMD.

c) *"Monitoring and Evaluation would be good. However, it is not understood. It is poorly prioritized and done on an ad hoc basis. There is need for an M&E Policy"* Assistant Commissioner, MEMD.

d) *"There is lack of an M&E structure. There are no deliberate efforts by government to make it functional"* Assistant Commissioner- Petroleum Department.

e) *"I have only heard about monitoring and evaluation from the Budget Monitoring Staff of Ministry of Finance. But it's a good thing"* Commissioner- PEPD

4.4.3: Capacity to Supply M&E Information

This objective aimed at establishing the technical capacity and infrastructure to carry out M&E related tasks, existence of a credible and relevant data and information gathering systems, availability of skilled personnel to gather, analyze and report on the performance of government programmes, policies and projects. Table 4.4.3.1 presents findings on the capacity to supply M&E information

Table 4.4.3.1: Capacity to Supply M&E Information

	N	**%**	**N**	**%**	**N**	**%**	**N**	**%**	**N**	**%**	**M**
CAPACITY TO SUPPLY M&E INFORMATION	**SA**		**A**		**N**		**D**		**SD**		
Program, projects and policies are evaluated on a regular basis	20	27	11	15	15	20	7	9	22	29	3.00
There is presence of local capacity to conduct rigorous M&E	19	25	5	7	19	25	9	12	23	31	2.84
Intensive training is provided in evaluation capacity development	11	15	3	4	46	61	2	3	13	17	2.96

to the evaluation community											
Local technical capacity in M&E is built among relevant ministry officials	26	35	1	1	19	25	2	3	27	36	2.96
Data information systems are strengthened to ensure high quality data	14	19	3	4	17	23	6	8	35	47	2.40
The OPM collects information regularly on the progress of different programs	5	7	1	1	55	73	1	1	13	17	2.79
There is availability of performance information system to provide information in real time	20	27	3	4	17	23	10	13	25	33	2.77
There is a performance information system to provide information in real time	23	31	3	4	25	33	3	4	21	28	3.05
Monitoring and evaluation is an integral part of the program from its inception	10	13	1	1	17	23	21	28	26	35	2.31

Mean Percentage score		**21**		**4**		**32**		**10**		**32**	**2.79**

Source: Field Findings

The findings in Table 4.4.3.1 indicated a low capacity to supply M&E information (2.79); with majority of the respondents not knowing whether M&E was conducted on a relatively regular basis (3.00); and whether performance information systems were in place (3.05). There was still a challenge with the available data as it was still of low quality (2.40). This indicates that there is a challenge in receiving timely and good quality data to aid in decision-making. Respondents also generally disagreed that M&E was an integral part of the programme from its inception (2.31).

To further validate the findings, Chi-square was used. Hypotheses were developed; with the Ho stating; there is no capacity to supply M&E information and the H_A; stating; there is capacity to supply M&E information. Details are shown in table 4.4.3.2.

Table 4.4.3.2: Chi-square Statistics to Indicate Supply of M&E Information

Taking our p-value to be 0.05						
	OBSERVED	EXPECTED	Chi-square value	Probability (P)	Compared to p-value	Conclusion
OBJECTIVE THREE	19.2	14.4	1.6	0.075<P<0.2	bigger	fail to reject the null hypothesis
We fail to reject the null hypothesis because the probability of it being true is higher than our critical value (p-value) of 0.05. This means that there is no capacity to supply M&E information.						

Source: Field Findings

Key informant interviews revealed similar findings. The capacity to conduct M&E was viewed as inadequate and in some cases non-existent. Monitoring was reported to be dominant in the M&E function, with slightly better ability to conduct monitoring as opposed to evaluation. It was established that the energy sub-sector comprised majorly engineers and economists, who were also conducting the M&E component in addition to their tasks. Such officers were found not to be in position to carry out the M&E function as 60% of M&E issues were not necessarily engineering in nature. Respondents were engaged in other work, with the M&E function being an added task. There were therefore inadequate teams to conduct M&E. Officers with M&E titles were economists, engineers and social scientists by profession and could not perform M&E functions. Hence only a few had knowledge on the M&E function.

A commissioner from the MEMD noted that, *"M&E is done by the low cadre, yet they do not understand what M&E is (this is because each department does their own M&E at a basic level to follow up and supervise progress of their projects without necessarily the M&E capacity in place). Monitoring is conducted at the beginning of an intervention, even before actual implementation starts. The officers do not understand what M&E is."*

On the contrary, key informant interviews with officers from institutions that have a clear mandate to conduct the M&E function highlighted the availability of capacity to conduct M&E. They highlighted that efforts are in place to develop the M&E capacity in the country through various trainings that are being conducted by the OPM in partnership with development partners. For studies conducted by the OPM, every time there are evaluations with an international consultant, there is always a co-evaluator from the country who is a national. There are now masters in M&E and people are enriching their capacities.

4.4.4 Capacity to demand and use M&E information

The objective aimed to establish the capacity within public institutions to demand and use evidence from the M&E system to assist in decision-making. The key issues explored included; demand for M&E information by key stakeholders; including policy-makers, implementers and citizens; and the use of M&E information. Findings are presented in table 4.4.4.1.

Table 4.4.4.1 Capacity to demand and use M&E information

	N	**%**	**N**	**%**	**N**	**%**	**N**	**%**	**N**	**%**	**M**
DEMAND AND USE OF M&E INFORMATION	**SA**		**A**		**N**		**D**		**SD**		
Parliamentarians are demanding to know the influence of development interventions on intended outcomes	7	9	3	4	16	21	15	20	34	45	2.12
Stakeholders are demanding to know the influence of development interventions on intended outputs	5	7	1	1	15	20	15	20	39	52	1.91
Monitoring and evaluation findings are majorly used to provide accountability	11	15	1	1	14	19	19	25	30	40	2.25
Monitoring and evaluation findings are majorly used for learning and improvement of projects, programs and policies	8	11	1	1	9	12	32	43	25	33	2.13
Monitoring and evaluation is conducted to demonstrate progress in achievement of results	3	4	1	1	7	9	29	39	35	47	1.77
Monitoring and evaluation is conducted to influence policy change	8	11	1	1	9	12	23	31	34	45	2.01
Monitoring and evaluation results are integrated into the decision making	7	9	1	1	10	13	11	15	46	61	1.83

	N	%	N	%	N	%	N	%	N	%	M
DEMAND AND USE OF M&E INFORMATION	**SA**		**A**		**N**		**D**		**SD**		
process											
M&E results influence budget allocations	12	16	1	1	22	29	13	17	27	36	2.44
M&E results confirm program effectiveness	5	7	1	1	10	13	23	31	36	48	1.88
M&E results influence program abolition	14	19	3	4	22	29	11	15	25	33	2.60
M&E results influence changes in program management	6	8	1	1	14	19	13	17	41	55	1.91
Monitoring and evaluation results are used for debate on public policies	5	7	1	1	25	33	13	17	31	41	2.15
M&E findings are utilized extensively by all stakeholders	19	25	3	4	30	40	9	12	14	19	3.05
M&E are utilized extensively by sector ministries	9	12	1	1	25	33	9	12	31	41	2.31
There is clear demand for M&E findings	10	13	1	1	10	13	15	20	39	52	2.04
Mean percentage score		**15**		**2**		**21**		**20**		**41**	**2.16**

Source: Field Findings

The findings in table 4.4.4.1 indicate a low demand and use for M&E findings (2.16). There was disagreement that M&E was conducted to demonstrate progress in achievement of results (1.77). In addition there was minimal demand from key stakeholders to know the influence of interventions on intended outputs (1.91). Respondents disagreed that evaluations were conducted to influence policy change (2.01). They also noted that parliamentarians were not keen to follow

up the influence of interventions on development outcomes (2.12). Consequently, it was noted that M&E results were not utilized for debate on public policies (2.15), and neither were they utilized by sector ministries (2.31). Budgets were ultimately not informed by M&E findings (2.44), neither did it influence programme management (1.91) or programme abolition (2.60). This therefore implied an indifferent attitude towards M&E as results were not demanded and utilized extensively.

The Chi-Square was used to further substantiate the results from the Likert scale. Hypotheses were generated for the objective which included; Ho: There is no demand and use for M&E findings; H_A: There is demand and use of M&E findings. Results are tabulated in table 4.4.4.2.

Table 4.4.4.2: Chi Square Tabulation on Demand and Use of M&E findings

Taking our p-value to be 0.05						
	OBSERVED	**EXPECTED**	**Chi-square value**	**Probability (P)**	**Compared to p-value**	**Conclusion**
OBJECTIVE FOUR	11.4375	8.578125	0.953125	0.075<P<0.2	bigger	fail to reject the null hypothesis
We fail to reject the null hypothesis because the probability of it being true is higher than our critical value (p-value) of 0.05. This means that capacity to demand and use M&E information does not exist.						

Source: Field findings

Results from the Chi-Square also tally with the Likert scale which indicates that the capacity to demand and use M&E information is minimal. Qualitative interviews with senior staff of MEMD also indicated low demand and use of M&E findings. There was no M&E department except the units that were implementing donor-funded projects. These had M&E staff as the function is vital to the development partners. They were not aware about the presence of an M&E system in place. There was no clear mandate to monitor the projects and programmes. The majority of the officers testified that they had only interfaced with the M&E function from the Budget Monitoring and Accountability Unit of MFPED; as the unit conducts periodic monitoring of the energy sector development projects.

Respondents from the sector also highlighted that there is no budget attached to the M&E function. Even for those projects that had an M&E function, and therefore budget in place; the greatest expenditure was allocated to salaries as compared to the actual M&E work.

CHAPTER FIVE

SUMMARY, DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter presents the summary of findings, discussion of findings, conclusions and recommendations regarding the study findings. The study measured the level of institutionalization of M&E systems in Uganda's public sector, with focus on the energy sub-sector. Specifically, the study aimed to: i) establish the level of clarity of the vision and purpose of the M&E system in Uganda's energy sub-sector; ii) investigate the presence of an enabling environment for the M&E system; iii) examine the technical capacity and infrastructure to supply M&E information in the energy sub-sector; and iv) establish the capacity to demand and use the M&E information in the energy sub-sector. The chapter is arranged according to the study objectives.

5.2: Summary of Findings

5.2.1 Clarity of the Vision and Purpose of the M&E System

The findings revealed that senior government officers had an appreciation that M&E increases effectiveness in performance, provides accountability and transparency on how public monies are used and should influence the allocation of resources. The Chi-square results however revealed that the clarity and vision of the M&E system was not in place. Key informant interviews showed that M&E systems were not actualized in the Ugandan setting and therefore did not lead to improved service delivery.

5.2.2: Presence of an Enabling Environment for the M&E System

The findings on the presence of an enabling environment were twofold. The OPM and the OP revealed presence of an enabling environment in terms of commitment to fund the M&E function, availability of the country M&E policy, and strategic positioning of the country's M&E system in the OPM and OP. On the other hand, the role of the OPM was invisible to the outsiders such as the energy sub-sector. They were not knowledgeable about the legal framework in place such as presence of the M&E policy and the OPM's mandate to conduct M&E in the country. To them, the M&E function was under the mandate of MFPED. In fact, respondents suggested the need to develop an M&E policy.

5.2.3 Technical Capacity and Infrastructure to Supply M&E Information

Findings revealed inadequate capacity to conduct M&E. Monitoring was reported to be dominant of the M&E function with slightly better ability to conduct monitoring as opposed to evaluation. In addition the information gathering systems and infrastructure to supply the M&E information was generally lacking in the energy sector. Respondents especially from the OPM and OP on the contrary highlighted that efforts are in place to improve capacity through sponsoring short trainings in M&E both at central and local government level.

5.2.4: Capacity to Demand and Use M&E information

Findings revealed low demand and use for M&E findings. Policy-makers were reluctant to demand and use evidence from M&E to make informed decisions. Structures for M&E were not in place. M&E was generally passive in the energy sub-sector with no clear budget line and when done, the exercise was ad hoc.

5.3 Discussion of findings

The findings are discussed according to the objectives of the study.

5.3.1 Clarity of the Vision and purpose of the M&E system

The findings revealed that senior government officers had an appreciation that M&E increases effectiveness in performance, provides accountability and transparency on how public monies are used and should influence the allocation of resources. However, this is not actualized in the Ugandan setting and therefore M&E systems have not improved service delivery as highlighted by key informant interviews. The M&E information was passive in nature and not utilized to achieve intended development objectives as advanced by Mackay (2011:11). Clarity of the vision and purpose of the M&E system would ultimately translate into the establishment of M&E structures in institutions with clear mandates to carry out the function; a budget line with adequate financial resources, necessary staffing and human capacity in place. Findings however revealed that there was no clear budget line in place for M&E. If M&E was budgeted for, it was embedded in the "travel inland" budget line which suffered major budget cuts and reallocation of the Function's funds to other "priority" Functions in case of budget constraints. The technical capacity was also said to be lacking and the staffing for M&E generally scattered and spread too thin for meaningful M&E to be conducted.

Understanding the role of the system would help in improving performance of development interventions, ultimately leading to formulation of better policies (World Bank's Public Sector Development Paper 2015:1). However, discussions indicated a lack of a clear M&E structure as the existing one was not fully functional and it has not been given deliberate effort to make it functional. Most of the M&E is project-specific. It was revealed that there is no effort to look at

M&E in its entirety and therefore causing difficulty to link it to the overall planning and implementation.

Findings also showed that institutionalization of M&E systems was not given its due importance. For instance, in MEMD, Monitoring and Evaluation is an added role to an economist, and engineer. At the local government, the district planner tries to cater for the M&E function alongside their work. In some projects, there are no M&E officers even among donor projects that acknowledge the role of M&E. In addition, while the OPM has the core mandate to monitor and evaluate government policies, programmes and policies, respondents highlighted that this was not done across government and therefore M&E is spread thin. Institutionalization was rated as weak with no clear institution mandated to conduct M&E. This is in line with CLEAR's (2013:9) assertion that indeed, a great majority of governments in developing countries including Uganda did not have clear M&E systems.

Findings also indicated that the M&E function is usually confused with audit. Discussions indicated that top management has not yet grasped the concept of M&E and therefore they cannot advocate for it. It was highlighted that some managers perceive M&E as a "witch hunting function" and would do whatever they can to "starve" it. The M&E managers in place were not popular as implementers perceived them as always interested in fault finding. Indeed, CLEAR (2013:9) highlighted that M&E is viewed as a control and policing tool. This is contrary to what the study on the National Capacity Development Initiative (2012:2) advance that an enabling environment deflects resistance to M&E results and helps to ensure utilization.

5.3.2: Presence of an enabling environment for the M&E system

The OPM which holds the legal mandate to conduct M&E of projects, policies and programmes indicated that total funding worth Ug shs 5 billion is provided by government to implement the function. In addition, there was presence of the Monitoring and Evaluation policy to guide the implementation of M&E in the country. Other documents were in place to guide the operationalization of the policy. The department also has 17 staff to carry out the M&E function. This was in line with the assertion from CLEAR (2013:9) that Uganda benefits from having a well champion in the Offices of the President; Prime Minister and the MFPED.

However, it was noted that implementation of the policy had not been actualized majorly due to lack of coordination among institutions that should contribute to the function. There is still high level of fragmentation of M&E across government with significant overlapping of M&E activities. For instance, the same M&E function is undertaken by MFPED, OPM and OP. There is, therefore, lack of clear mandates for implementing institutions. In addition, OPM highlighted inadequate funding, limited technical capacity, lack of proper structures for M&E and poor information systems in place as constraining the M&E function. This was contrary to what Mackay (2012:11) constituted an enabling environment to an institutionalized M&E system.

Again, from the point of view of the energy sector, the role of the OPM was invisible as directors, commissioners of a key government sector were not knowledgeable about the legal framework in place such as presence of the M&E policy and the OPM's mandate to conduct M&E in the country. To them the M&E function was under the mandate of MFPED. A few respondents highlighted that the policy that establishes the M&E system is still new. Therefore government has not wholly embraced it and it is poorly prioritized in resource allocation. Indeed,

Basheka and Byamugisha (2015:75) established that the legal and institutional frameworks for the practices of M&E are still weak.

Corruption was also highlighted by MEMD as suffocating the M&E system. An enabling environment for the M&E system supports values and ethics such as transparency, objectivity, accountability and commitment to results as highlighted by Mackay (2012:11). Key informant discussions highlighted that government does not take the issue of M&E seriously as shown by a number shoddy works being done without taking serious action. For instance, they highlighted that if M&E was given the seriousness it deserves, scandals of shoddy works by Uganda National Road Fund (UNRA) would not have happened. Therefore, it indicated that key policy makers and implementers did not care about results but are more concerned about personal gains. Funds are swindled and no follow up is done.

5.3.3 Technical Capacity and Infrastructure to Supply M&E Information

An institutionalized M&E system should constitute technical capacity and infrastructure to carry out M&E related tasks, with credible data and information gathering systems. However, findings revealed inadequate capacity to conduct M&E. The MEMD did not have an M&E department within their structure. Only donor projects had an M&E structure such as Energy for Rural Transformation (ERT) implemented by the World Bank; transmission infrastructure projects funded by a number of development partners such as; International Development Agency; African Development Bank; and the Promotion of Renewable Energy and Energy Efficiency implemented by the GIZ. A total of 64% of respondents from MEMD had no M&E staff in their department while 36% of the respondents from donor-funded projects had an M&E function on

their departments. Of the staff that carried out the M&E function, only 8% had basic training in M&E. There was generally lack of technical capacity to conduct M&E.

Engineers were conducting the M&E component as the UETCL is dominated by engineers. Even if the major tasks in the UETCL are engineering in nature, it was noted that 60% of the M&E issues are not engineering issues. Since majority of the staff in place were engineers, the unit should be run by engineers even where there was need for an M&E specialist. Moreover officers reported that they gave more attention to their professional work with M&E being conducted occasionally. Respondents also highlighted that there were a number of M&E officers by title but hardly knew what M&E is. In the energy sector, M&E was done by low cadre officers and yet they did not understand it. Each department conducted basic monitoring to follow up and supervise progress of their projects without necessarily the M&E capacity in place. For instance, an officer claimed to conduct monitoring even before actual implementation of projects started. Additionally, the public sector was highlighted to have very few people with technical capacity to conduct evaluations, with most of the evaluations in government being conducted by the private sector. This was in line with CLEAR's (2013:11) assertion that government had insufficient number of personnel and insufficient levels of M&E expertise among their M&E staff.

Khan (2003:8) reveals that an M&E system is supposed to be part of the national and organizational planning. However, it was noted that lack of emphasis sidelines this function as is in the energy sector. It was highlighted that the M&E function should be in the planning unit of MEMD. However, the system in place does not allow it to be effective. For instance, there was no particular Vote Function under which it was funded, funds earmarked for the "travel inland"

budget line are always re-allocated by the end of the financial year. As a result, planners were left to rely on guesswork to build upon the existing work or introduce a shift in policies and programmes.

In addition the information gathering systems and infrastructure to supply the M&E information was generally lacking in the energy sector. There was lack of sufficient tools and personnel to provide M&E information, lack of a clear database, and tool to track that information. Functional information systems were a prerequisite for mature M&E systems according to Mackay 2012:11). This was consistent with the challenges in the information system revealed by CLEAR 2013:11 including difficulty in receiving quality and timely data and information.

However, respondents especially from the OPM and OP highlighted that efforts are in place to improve capacity through sponsoring short trainings in M&E both at central and local government level. They highlighted that every time there are evaluations with an international consultant, there is always a co-evaluator from the country who is a national. Findings noted that although efforts to build capacity were in place, the available capacity was scattered all over the country while no clear database of the available technical capacity. This too was noted by a study on technical capacity to supply the M&E system in Uganda (2012:180) which revealed that professional capacity was scattered across MDAs and NGOs all over the country.

5.3.4: Capacity to Demand and Use M&E information

Findings revealed low demand and use for M&E findings, yet Porter (2012.7) established that when decision-makers wish to use evidence from the M&E system to assist in making a choice, demand for M&E is generated. Non-utilization of results was ranked high as a constraint in

effective institutionalization of M&E systems in the country. It was highlighted that some issues raised take long to be solved; and observed that follow up and implementation of recommendations is not done. Porter highlights that the capacity to supply M&E information should be in place in order to demand for quality evidence. Findings indicated that there is low capacity to supply M&E information; however, the capacity is steadily growing.

To ensure success of demand and use of M&E information, Mackay (2012:11) stressed that there should be systems in place to incorporate and use findings. However, findings indicated that the M&E system is not embedded within the structure of the institution. The M&E function is not strongly rooted within the energy sector. There is no visible framework that would enforce the use of M&E findings. The MEMD also highlighted lack of a visible institution mandated to follow up M&E recommendations. This ultimately indicates that there is minimal appreciation of the role of M&E in project and programme implementation. In fact, it was noted that top management has not yet grasped the concept of demand and supply of M&E information and therefore cannot advocate for use of M&E information.

CLEAR (2012:9) noted that Uganda developed the National M&E policy that supports efforts to increase M&E capacity and promote use of M&E results. However, findings revealed that much as the policy is in place, it is not utilized. This was reported by both the M&E implementing agencies and the energy sector which actually was not aware about the existence of such a policy. This was complemented by findings from OPM which highlighted that Uganda has got a poor reading culture as OPM asserted that the policy had been disseminated to all MDAs but officers were not bothering to read it. This is also in line with literature from Potter (2012:180)

which revealed that limited utilization of data is a common phenomenon as the culture of managers seeking data to improve performance is still low.

5.4 Conclusion

5.4.1 Clarity of the Vision and Purpose of the M&E System

The findings revealed that senior government officers had knowledge and an appreciation of the value of M&E systems in the assessment of government programmes to attain intended objectives. This therefore recognizes that there is an increased understanding of the role of M&E systems. However it was noted to be an ideal situation as actual institutionalization of the M&E systems in Uganda is not in place in terms of: utilization of the data in decision-making, partly due to limited disclosure of evaluation information, and utilization of the systems to formulate future policies. No wonder, the Annual Government Performance Report (2014/15) indicates that the energy sector achieved 38% outputs against the set targets.

5.4.2: Presence of an enabling environment for the M&E system

There is an enabling environment for the M&E System with the key responsibility of the OPM being mandated to carry out the M&E function on behalf of government; with other key players like the OP and MFPED This environment is complemented by government's commitment to provide funding and presence of the legal framework including the presence of the National M&E policy. The enabling environment has however not trickled down to other sectors. More deliberate effort needs to be made to implement the policy and to mainstream M&E across all MDAs including local governments.

5.4.3 Technical Capacity and Infrastructure to Supply M&E Information

Technical capacity and infrastructure to supply the M&E system is still inadequate. The available capacity was thin on ground and scattered across different ends of MDAs to make meaningful impacts. Monitoring was reported to be the dominant of the M&E function with slightly better ability to conduct monitoring as opposed to evaluation. The information gathering systems and infrastructure to supply the M&E information was generally lacking in the energy sector. There were efforts by OPM in partnership with development partners, and academic institutions to develop capacity in M&E through sponsoring short trainings and various M&E courses.

5.4.4: Capacity to Demand and Use M&E information

Capacity to demand and use M&E information was low as there was a general lack of appreciation and therefore limited prioritization of M&E in the energy sector. Policy makers were reluctant to demand and use evidence from M&E to make informed decisions. Structures for M&E were not in place. M&E was generally passive in the energy sector with no clear budget line.

5.5 Recommendations

5.5.1 Clarity of the Vision and Purpose of the M&E System

There is need for the OPM to continuously sensitize MDAs about the role of M&E system in the achievement of development outcomes. The MDAs in collaboration with MFPED and OPM should plan and avail adequate resources to the M&E function across the M&E implementing structures in MDAs and local governments. The M&E function should be decentralized to the grassroots by establishing functional M&E structures in all government institutions with clear deliverables and a budget.

5.5.2: Presence of an Enabling Environment for the M&E System

The OPM should strengthen coordination and ensure the operationalization of M&E systems among MDAs. Ultimately, there is need for the OPM to ensure that the M&E Policy is operationalized/ implemented. This will also help in clarifying issues of mandates of institutions performing the M&E function. The M&E structure should at the very least provide for an M&E officer within the government unit with clear terms of reference.

The OPM should liaise with Parliament and MFPED to provide a budget for M&E in all MDAs and LGs. Public service should approve the structures for M &E for MDAs and LGs.

5.5.3 Technical Capacity and Infrastructure to Supply M&E Information

The OPM and MFPED should provide adequate funding to build M&E capacity. The MDAs should identify their capacity gaps and include the required M&E capacity building in their budgets. The MFPED should in turn provide the funding. This training should be continuous. In addition, computerized systems should be provided to all MDAs and capacity built on use of the information systems to provide good quality information in real time.

The OPM in coordination with the MDAs should create Monitoring and Evaluation Units in all government institutions and equip them with technical staff in M&E. These institutions should ultimately report to the OPM to ensure proper supply of information.

5.5.4: Capacity to Demand and Use M&E Information

The OPM should initiate the creation of awareness on the role of M&E in achievement of development interventions. All MDAs should sensitize both implementers and top management

to appreciate the value of M&E in development. Deliberate efforts to embed the M&E system within structures of all MDAs should also be done.

The OPM together with the MDAs should ensure follow up of recommendations provided from the M&E reports. Proper utilization of findings will ensure that lessons drawn from the findings inform implementation of government projects and programmes.

5.6. Limitations of the Study

Due to time and resource constraints, the study majorly relied on a case study of the energy sector to draw conclusions on the institutionalization of M&E systems in place. This compromises the generalization of the study findings to other institutions.

The study majorly relied on primary data collection methods using questionnaires and key informant interviews with limited secondary data from the Ugandan context. This data, if available, would enhance the primary findings to draw better conclusions and recommendations.

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5.8. Contributions of the Study

The findings will benefit the OPM that is mandated to conduct M&E in the country. The study provides feedback on the level of institutionalization of the M&E systems in the country. As established from the findings, the implementing agency was aware of the existence of the enabling environment for the M&E system in the public sector. However, the energy sector that was studied was not even aware of the mandate of the OPM, the presence of the M&E policy, and there were no M&E structures in the sector. The findings will therefore help OPM to ensure that the necessary infrastructure is put in place such as: M&E structures across MDAs; relevant

staffing; resources for the M&E function; and generally creating awareness about the role of M&E in development.

The study findings will also add new knowledge that may trigger further research on M&E which is a relatively new discipline in Uganda.

5.9. Areas for further research

There is need to carry out a research on:

- Role of M&E performance among all MDAs;
- Key factors constraining effective utilization of M&E findings among all MDAs.

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Appendix I: CERTIFICATE OF PROOF THAT DISSERTATION HAS BEEN EDITED

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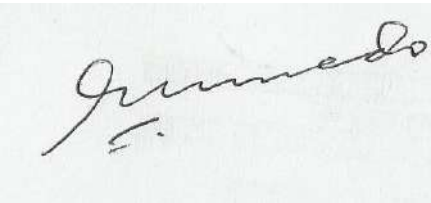
16 September 2016

CERTIFICATE OF PROOF THAT DISSERTATION HAS BEEN EDITED

This is to certify that the Master's Degree dissertation entitled, **Measuring the Level of Institutionalization of Monitoring and Evaluation Systems in Uganda's Public Sector: A Case of Energy Sector by Angella Basaasira Ssali,** has been reviewed and corrected in order to ensure clarity of expression and consistency regarding key style aspects like general grammar, sentence structure to ensure logical flow and effectiveness of meaning, all-round punctuation, use of articles, use of tenses, citation and referencing.



Mukotani Rugyendo

Professional Editor

Appendix II: QUESTIONNAIRE

Dear Respondent, I am a Masters Student conducting research on the measurement of the Institutionalization of Monitoring and Evaluation Systems in the Public Sector, focusing on the Energy Sector. The Office of the Prime Minster and the Energy Sector have been selected to inform the study. This is to request you to participate in the study.Your responses will contribute to the appreciation of the level of institutionalization of M&E Systems in the Public Sector and will provide recommendation on how M&E systems could be improved to improve service delivery.

SECTION A: BACKGROUND INFORMATION

1.	**SEX**	
	FEMALE	MALE
	1	**2**

2. INSTITUTION	
a) OFFICE OF THE PRESIDENT	1
b) OFFICE OF THE PRIME MINISTER	2
c) MINISRTY OF ENERGY AND	3

MINERAL DEVELOPMENT	

3.	DESIGNATION	
	Ministry Head (Permanent Secretary/ Chief Executive Officer)	1
	Director	2
	Commissioner	3
	Senior Staff	4

Please indicate you level of acceptability with the following statements?

SCALE				
5	4	3	2	1
Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree

SECTION B: The following questions relate to the clarity of the Vision and Purpose of the M&E system. Please circle the number that best indicates your	SA	A	N	D	SD

opinion on the question.					
1. M&E systems help to increase their effectiveness of public programs	5	4	3	2	1
2. M&E systems provides more accountability and transparency on how public monies are used	5	4	3	2	1
3. M&E systems provides more transparency on how public monies are used	5	4	3	2	1
4. M&E informs the budgetary process	5	4	3	2	1
5. M&E plays an important role in the allocation of resources	5	4	3	2	1
6. M&E helps in the assessment of the effectiveness of an intervention leading to achievement of project objectives	5	4	3	2	1
7. Policy makers and implementers are aware about the role of M&E in the achievement of development outcomes	5	4	3	2	1
8. The public sector appreciates that evaluations have improved the efficiency of ongoing programs	5	4	3	2	1
9. The public sector appreciates that evaluations have	5	4	3	2	1

improved the effectiveness of ongoing programs					
10. Institutionalization of M&E systems helped formulate future policies	5	4	3	2	1
11. M&E provides a rigorous rationale for continuation of programs	5	4	3	2	1
12. M&E provides a rigorous rationale for termination of particular programs	5	4	3	2	1
13. The implementers understand that M&E information can assist in improving performance of public sector	5	4	3	2	1
14. Key stakeholders understand that M&E information can assist in improving performance of public sector	5	4	3	2	1
15. There is ownership of the M&E information by the, ministries to help in decision making	5	4	3	2	1
16. There is ownership of the M&E information by the departments to help in decision making	5	4	3	2	1
17. M&E findings help in decision making	5	4	3	2	1
18. The M&E system in place links to the National Development Plan	5	4	3	2	1
19. The M&E system links to the National	5	4	3	2	1

	Development Plan					
20.	The information from M&E is used for debate on public policies	5	4	3	2	1
21.	M&E is prioritized to improve program effectiveness	5	4	3	2	1
22.	High level champions believe in the M&E system	5	4	3	2	1
23.	Country efforts to strengthen the M&E system can be a catalyst for improved public sector reforms	5	4	3	2	1
24.	There is full public disclosure of evaluation findings	5	4	3	2	1
25.	The citizens have a right to M&E information	5	4	3	2	1
26.	Citizens actively participate in decision making based on information provided					
	SECTION C: The questions in this section relate to the enabling environment for the M&E system. Please indicate your level of agreement with the following					
1.	There is a functional M&E system in the OPM	5	4	3	2	1
2.	There is a functional M&E system in the OPM	5	4	3	2	1
3.	Evaluation consultants to conduct evaluations are selected through open bidding process	5	4	3	2	1
4.	Consultants to conduct evaluations are selected internally from the ministry staff	5	4	3	2	1

5. Consultants to conduct evaluations are selected though internal adverts	5	4	3	2	1
6. The roles and responsibilities of the main actors in M&E (MFPED, OPM, OP) are clearly defined	5	4	3	2	1
7. There is a high level of commitment from senior officials at the ministry to implement the M&E system	5	4	3	2	1
8. There is a high level of support from the senior officials at the ministry to implement the M&E system	5	4	3	2	1
9. There is a broad legal mandate to conduct the evaluations	5	4	3	2	1
10. There is political will to champion evaluations	5	4	3	2	1
11. The oversight body has a high degree of independence to disseminate the findings	5	4	3	2	1
12. The oversight body has enforcement capabilities to enforce the adoption of recommendations	5	4	3	2	1
SECTION D: This section seeks to establish the capacity in place to supply M&E information. Please indicate your level of agreement with the following.					

1. Projects/ Programs/ Policies in place are monitored on a regular basis	5	4	3	2	1
2. Program, projects and policies are evaluated on a regular basis	5	4	3	2	1
3. There is presence of local capacity to conduct rigorous M&E	5	4	3	2	1
4. Intensive training is provided in evaluation capacity development to the evaluation community? (for OPM)	5	4	3	2	1
5. Local technical capacity in M&E is built among relevant ministry officials	5	4	3	2	1
6. Local technical capacity in M&E is built among relevant ministry officials	5	4	3	2	1
7. Data information systems are strengthened to ensure high quality data	5	4	3	2	1
8. The OPM collects information regularly on the progress of different programs	5	4	3	2	1
9. Performance information system to provide information in real time	5	4	3	2	1

10. There is a performance information system to provide information in real time	5	4	3	2	1
11. M&E is an integral part of the program from program inception.	5	4	3	2	1
SECTION E: This section seeks to establish the capacity in place to demand and use M&E information. Please indicate your level of agree					
1. Parliamentarians are demanding to know the influence of development interventions on intended outcomes	5	4	3	2	1
2. Ministries are demanding to know the influence of development interventions on intended outputs	5	4	3	2	1
3. Agencies are demanding to know the influence of development interventions on intended outputs	5	4	3	2	1
4. M&E findings are majorly used to provide accountability	5	4	3	2	1
5. M&E findings are majorly used for learning and improvement of projects, programs and policies	5	4	3	2	1

6. M&E is conducted to demonstrate progress in achievement of results	5	4	3	2	1
7. M&E is conducted to influence policy change	5	4	3	2	1
8. M&E is rarely conducted	5	4	3	2	1
9. M&E results are integrated into the decision making process.	5	4	3	2	1
10. M&E results influence budget allocations	5	4	3	2	1
11. M&E results confirm program effectiveness influence program redesign	5	4	3	2	1
12. M&E results confirm program abolition	5	4	3	2	1
13. M&E results influence changes in program management	5	4	3	2	1
14. M&E results are used for debate on public policies	5	4	3	2	1
15. M&E findings are utilized extensively by all stakeholders	5	4	3	2	1
16. M&E are utilized extensively by sector ministries	5	4	3	2	1

17. There is clear demand for M&E findings	5	4	3	2	1

Appendix III: INTERVIEW GUIDE FOR OPM AND MINISTRY STAFF

1. What is the Mandate of the M&E department in the institution?
2. What role does M&E play in the public sector?
3. What is the size of your M&E department?
4. How many evaluations have been conducted by government since the inception of the unit?
5. What is the annual budget attached to monitoring and evaluation?
6. Specify the budget attached to other outputs in the institution?
7. What is your opinion on the level of instituonalization of M&E system in the country?
8. Comment about the technical capacity of in place to conduct evaluations
9. Comment about the capacity in place to commission and manage evaluations
10. What is your view concerning the resources in place to implement the M&E system?
11. Who manages the evaluations that are conducted?
12. How is M&E information disseminated?
13. In which forms are the M&E results are disseminated?
14. Comment on how the M&E information is used within government
15. What are the challenges experienced in the institutionalization of M&E systems?

16. Suggest recommendations on how the M&E system can be improved.

Thank you for your participation

Appendix *IV: KREJCIE &MORGAN TABLE FOR DETERMINING SAMPLE SIZE*

N	*S*	*N*	*S*	*N*	*S*
10	10	220	140	1200	291
15	14	230	144	1300	297
20	19	240	148	1400	302
25	24	250	152	1500	306
30	28	260	155	1600	310
35	32	270	159	1700	313
40	36	280	162	1800	317
45	40	290	165	1900	320
50	44	300	169	2000	322
55	48	320	175	2200	327
60	52	340	181	2400	331
65	56	360	186	2600	335
70	59	380	191	2800	338
75	63	400	196	3000	341
80	66	420	201	3500	346
85	70	440	205	4000	351
90	73	460	210	4500	354
95	76	480	214	5000	357
100	80	500	217	6000	361
110	86	550	226	7000	364
120	92	600	234	8000	367
130	97	650	242	9000	368
140	103	700	248	10000	370
150	108	750	254	15000	375
160	113	800	260	20000	377
170	118	850	265	30000	379
180	123	900	269	40000	380
190	127	950	274	50000	381
200	132	1000	278	75000	382
210	136	1100	285	1000000	384

Note.—*N* is population size.
S is sample size.