

**STREAMLINING MONITORING AND EVALUATION SYSTEMS IN  
MANAGING SOCIAL DEVELOPMENT INTERVENTIONS: A STUDY OF AHAFO  
MINE AREA LIVELIHOOD PROGRAMMES.**

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## DECLARATION

I hereby declare that this submission is my own work towards the MPhil and that, to the best of my knowledge, it contains no material previously published by another person nor material which has been accepted for the award of any other degree of the University, except where due acknowledgement has been made in the text.

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## **ABSTRACT**

Monitoring and Evaluation as a discipline, is increasingly recognized as an essential component in project management functions (Khalid, 2002). However, consciously or otherwise development programmes are faced with limited integration of monitoring and evaluation systems in the management functions to gauge its performance. This key planning and implementation weaknesses poses key challenges to the management functions of development programmes including livelihood programmes (Khan, 2003).

The study therefore seeks to examine the extent to which monitoring and evaluation systems of development programmes adopts standard practices. The study adopted a case study approach where three livelihood programmes operating within the Asutifi District were chosen. Programme Managers, Staff, beneficiaries and key institutional stakeholders were selected as respondents for the study.

The study revealed that, monitoring and evaluation systems of some livelihood programmes lacks critical tools like robust database, review and capacity building plans were found to be absent. Also it was revealed that some programmes operate without trained monitoring and evaluation practitioners. Despite these shortfalls the study affirmed that the practice of M&E influences programme decisions leading to reforms in the programme components. Also, the study identified a high level of stakeholder participation –groups and institutions supporting the implementation of the programme.

It is therefore recommended for policy designs on programme monitoring and evaluation that programme managers should be obliged to include the design of a robust database for data capture and retrieval, review and capacity building plans in the set-up of programme monitoring and evaluation systems as the concept keeps evolving. Again, development programmes should engage the services of trained practitioners directly on programmes to coordinate the monitoring and evaluation activities of the programmes.



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## DEDICATION

I dedicate this thesis to my Son, McKing Offei-Danquah Acheampong. Daddy, you give me joy in my heart. You are a treasure for me and I know through you great things will happen to the family. For that matter, if today this thesis has reached its successful completion, the entire family says it should be dedicated to you. May God bless you and the entire family.



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## **LIST OF ACRONYMS**

ACF	-	Action Contre la Faim (Action Against Hunger)
AfDB	-	African Development Bank
AILAP	-	Agricultural Improvement and Land Access Programme
BAC	-	Business Advisory Centers
BCPR	-	Bureau for Crisis Prevention and Recovery
DADU	-	District Agricultural Development Unit
DPCU	-	District Planning and Coordinating Unit
FGD	-	Focus Group Discussion
FHI	-	Family Health International
GEV	-	Guard of Earth and Vulnerable
GIZ	-	Deutsche Gesellschaft fur Internationale Zusammenarbeit
GSDRC	-	Governance and Social Development Resource Centre
IFAD	-	International Fund for Agricultural Development
IFC	-	International Finance Corporation
IFRC	-	International Federation of Red Cross and Red Crescent Societies

IFRCRCS	-	International Federation of Red Cross and Red Crescent Societies
M&E	-	Monitoring and Evaluation
MfDR	-	Managing for Development Results
MIS	-	Management Information System
MISA	-	Management Information System-Ahafo
NGGL	-	Newmont Ghana Gold Limited
NGOs	-	Non Governmental Organization(s)
OECD	-	Organization for Economic Co-operation and Development
OICI	-	Opportunity Industrialization Centers- International
PMF	-	Performance Measurement Framework
SWD	-	Social Welfare Department
RAP	-	Resettlement Action Plan
SDIIP	-	Skills Development and Income Improvement Programme
UNAIDS	-	United Nations Programme on HIV/AIDS
UNECA	-	United Nations Economic Commission for Africa
USAID	-	United States Agency for International Development
UNDP	-	United Nations Development Programme
UNFPA	-	United Nations Population Fund
UNWFP	-	United Nations World Food Programme
VPP	-	Vulnerable People's Programme

## **CHAPTER ONE:**

### **GENERAL INTRODUCTION**

#### **1.1 Introduction**

Development projects and for that matter livelihood programmes have as a primary logic or motive to help improve a situation (Guijt and Woodhill, 2002). To tell this story, there must be a systematic way of assessing how far a project is performing in relation to set targets and objectives. This calls for regular tracking and assessment of progress in the intervention and the key management tool used in this exercise is what development practitioners called Monitoring and Evaluation (M&E). Monitoring and Evaluation is not an entirely new management tool or phenomenon, as even in ancient Egypt, the country's outputs in grain and livestock production were regularly monitored (Kusek and Rist, 2004).

As a discipline, it is increasingly recognized as an essential component in project management functions (Khalid, 2002). It is also considered as a powerful management tool that can be used to help policymakers, donor/funding agencies, and decision makers track progress and demonstrate the impact of a given intervention (Kusek and Rist, 2004). Traditionally, Monitoring and Evaluation as a management tool was seen as the last step in the project cycle. However, contemporary project management or development practitioners have highlighted Monitoring and Evaluation as an important aspect which should be evident throughout the lifecycle of a project (UNECA, 2010).

From the foregoing, it could be asserted that, Monitoring and Evaluation has an important role to play in the process of achieving objectives and targets determined jointly by relevant stakeholders in development programmes or projects. In this regard, it is imperative that effective Monitoring and Evaluation systems be established to aid product delivery and the provision of quality service in all livelihood intervention programmes. Thus, programme M&E system, must be planned, managed, and provided with adequate resources (Freeman, 2003).

In some project endeavors carried out by governments, non-governmental organizations (NGOs) and other corporate organizations, it is sometimes difficult to ascertain whether the objectives of these programmes were met or otherwise. Among other factors that contribute to failure or difficulty in implementing such projects successfully could be due to low level of the integration of Monitoring and Evaluation system in the management process. Stated differently, the absence of an effective M&E system in the management of a project or programme makes it almost impossible to measure set objectives.

Against this background, this study investigates how an M&E system is integrated into the management functions of selected livelihood programmes in Asutifi district. The study assesses the existing M&E systems and suggests other means of improving the level of M&E integration in development programmes more especially in livelihood projects/programmes.

## 1.2 Problem Statement

The importance of good policies is unquestionable. However, implementing them effectively is often where the challenge lies (USAID, 2000). This applies to the design and implementation of programme M&E systems. Nabris, (2002) makes us understand that the design and implementation of programme monitoring and evaluation system is expected to be established right from programme initiation through to closure. However, according to Gorgens and Kusek, (2009) programme managers consciously or otherwise carry out programmes without providing the necessary framework for monitoring and evaluation. This impact on level of integration and utilization of M&E systems in the management functions of development programmes. These manifest in the process/steps, tools and plans as well as conditions created for M&E to succeed on programmes.

According to Khan (2003), the absence of an efficient and effective M&E system to keep track of development programme objectives and gauge its performance is one key planning and implementation weakness. The impacts of a weak M&E system in the management function of development programmes like the selected livelihood programmes affects policy makers, programme sponsors, managers/staff and programme stakeholders (Wilkins et al, 2008).

Monitoring and Evaluation, as indicated is an intrinsic part of the management functions of development programme interventions. However, regardless of the fact that literature abounds on setting out typical M&E system for social development programmes, its practical application appears to face some snags. According to the Governance and Social Development Resource Center (2007), monitoring and evaluation has historically suffered from underinvestment, weak commitment, lack of incentives and a relative shortage of professional expertise among others.

Another significant contributing factor to the limitations of M&E system implementation is resource availability and stakeholder participation. According to Guijt and Woodhill (2002), resource availability for an M&E system of development programmes accounts for its effectiveness, so where resources are not available, effective integration of M&E becomes a major challenge. It adds that considerable amount of materials on M&E concepts and theories maybe available to programmes managers, but there may be lack of practical resource –financial, human and kits– on methodologies and processes at the operational level (Guijt and Woodhill, 2002).

Considering the above, the study therefore seeks to assess the extent to which monitoring and evaluation systems of social development programmes conforms to standard practices using the three livelihood programmes in the Asutifi district as a case.

### **1.3 Research Questions**

The study seeks to find an answer to a broader question as – “Does M&E systems of livelihood programmes in the Ahafo mine area meet typical M&E practices?” Specifically the study seeks to answers the following questions:

- To what extent are the necessary conditions or framework required for operationalization of M&E systems established within the livelihood programmes?
- To what extent are stakeholders involved in the design and implementation of the M&E systems of livelihood programmes?
- What influence does the M&E system have on the programmes and key stakeholders?

- What strategies can be proposed to help ensure effective integration of M&E in the design and implementation of livelihood programmes?

#### **1.4 Research Objective**

The main purpose of this study is to examine the extent to which Monitoring and Evaluation systems of the selected livelihood programmes conforms to M&E standard practices.

The study specifically seeks to:

- Examine the level of integration and utilization of M&E systems in the management of identified livelihood programmes;
- Assess the extent to which relevant stakeholders are involved in the design and implementation of M&E systems of the alternative livelihood programmes;
- Evaluate the influence of implementation of M&E systems on livelihood programmes; and
- Propose strategies to help ensure effective integration of M&E in the design and implementation of the livelihood programmes within the Ahafo mine area.

#### **1.5 Scope of the Study**

Contextually, the research encompasses M&E systems of three selected livelihood programmes namely; Agricultural Improvement and Land Access Programme (AILAP), Skill Development and Income Improvement Program (SDIIP), and the Vulnerable People's Programme (VPP). Attention was paid to the M&E systems of the programmes in terms of the critical steps in setting up M&E systems, key constraints and benefits of M&E to the programmes as well as resourcing of M&E systems and stakeholder participation.

Geographically, the study was situated within the Asutifi District in the Brong Ahafo region, specifically the five main mine impacted communities referred to as the Ahafo Mine Area where the selected livelihood programmes operates. The communities include; Kenyasi No. 1, Kenyasi No. 2, Ntotroso, Wamahinso and Gyedu.

## **1.6 Relevance of study**

A study of this nature which seeks to examine the weakness pertaining in the implementation of M&E systems in programme management is significant due to the fact that it will help in strengthening M&E systems of social development programmes. This will inform programme managers on key M&E components, vital steps and procedures which are critical and should not be compromised in setting up programme M&E system.

Also, this study contributes to literature as findings shall be made available to researchers and development practitioners alike. Findings of the study shall be made available to students and other researchers in M&E systems for reference purposes, hence contributing to the expansion of the frontiers of knowledge. The study makes available the present state of M&E systems of the selected livelihood programmes which will serve as a basis for other researchers to investigate into other aspects of M&E in programme management.

It is hoped that, findings from the study will be fruitful to planners and policy makers in the field M&E by providing a critical overview of programme M&E and aid in formulation of policies relating to Monitoring and Evaluation on development programme interventions. This shall serve both the private and public sectors on the basis of designing and implementing robust M&E system for development programmes.

## 1.7 Limitations of the Research

The study faced some limitations concerning data collection and analysis. Key among these limitations had to do with respondents' availability and their biases.

Some of the programme staff were not certain as to the extent the data collected from them especially the secondary data could go and were therefore suspicious. In some instances, the programme coordinators had to intervene before respondents agreed to give out data. This challenge was also curbed with the authority note from the Department of Planning and signed by my supervisor

Regarding availability of respondents, officers from institutions selected for interviews were time constrained and busy in most cases appointments were scheduled. A number of follow up visits were therefore made on respective officers before most of the data were acquired. On the part of programme beneficiaries, the major challenge encountered was availability since they are predominantly farmers. Data collection methods for beneficiaries were therefore limited to focus groups discussions (FGDs) with its attendant limitation of being hijacked by a few fluent respondents. To overcome this challenge FGDs were specifically scheduled on Tuesdays and Thursdays which have been slated as taboo and Market day respectively in the mine communities. This enabled the team to get the required number of participants for the FGDs.

One other critical challenge faced was the issue of biasness on the part of respondents and beneficiaries. Respondent like programme staff tried to be a bit defensive in their responses to cover up for some of their ineffectiveness. On the flip side, based on the close ties established between beneficiaries and programme staff, beneficiaries also tended to be a bit supportive of the

defensive nature of programme staff. However, the inclusion of other stakeholders in triangulating the data collected and cross-checking with the secondary data prevented this from affecting the outcome of the study. Also the knowledge gain through review of literature helped in making inferences and deductions from the data collected and supported in overcoming these limitations.

## **1.8 Organization of the Report**

The study is organized in five chapters. Chapter one covers the introduction to the study, problem statement and key research questions. The objectives of the study as well as the scope were treated under this chapter as well and it was concluded with key limitations the study faced. This chapter thus opens the study and puts it into perspective.

Chapter two covered relevant related literature or theory on the phenomenon under study, thus what different authors has written on Monitoring and Evaluation systems in programmes and organizations as well as a conceptual basis for the study. An empirical studies or case studies of M&E systems on two programmes are presented under this chapter as well.

Chapter three presents a guide to how the field survey was undertaken. Profile to the study area, research design adopted, data requirement and the source of the data, as well as the data collection tools employed are discussed under this chapter of the study. The sampling technique, key data variables and the framework for data analysis were also spelt out in this chapter.

Responses to the research questions are presented in chapter four as findings from the field. Here data collected from the field analyzed and presented under the various research objectives. The data collected are also discussed in relation to literature. A summary of the findings per the

objectives, as well as conclusions and recommendations to help streamline Monitoring and Evaluation systems of livelihood programmes are also presented under chapter five of the study.

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## **CHAPTER TWO**

### **LITERATUREREVIEW: PROGRAMME MONITORING AND EVALUATION SYSTEM**

#### **2.1 Introduction**

This chapter draws attention to the concept of Monitoring and Evaluation (M&E) and relationship among the two. It discusses some key considerations for setting up a programme M&E system in terms of processes or approach, tools and further provides some details on how to make the M&E system functional. The chapter touches on the factors that can derail the functionality of the M&E system and concludes with case studies from two social development programmes.

## **2.2 The Concept of Monitoring and Evaluation**

The concept of Monitoring and Evaluation (M&E) is described as an indispensable learning and management tools for improving current and future programme planning, implementation and decision making processes (The Global Fund, 2011). Gorgens and Kusek (2009), make it clear that, there exist constant and growing pressures on governments and organizations to be more responsive to demands from internal and external stakeholders for good governance, accountability and transparency, greater development effectiveness and delivery of tangible results. Alongside this demands and interest in better performance results is an accompanying need for useful and useable results-based monitoring and evaluation systems to support the management of policies, programmes, and projects (Gorgens and Kusek, 2009). In many cases, funding for such programmes comes from donors and development agencies and for that matter it is expected that these implementing agencies –mostly NGOs– manage allocated funds in a transparent and accountable manner. Even besides this, it is important for these implementing agencies to measure the extent to which they are making a difference as per the programme interventions. This processes of ensuring accountability and transparency as well as assessing progress towards set objectives is carried out through the institutionalization of a vibrant Monitoring and evaluation (M&E) systems on such social development programmes (Hunters, 2009). Thus there is the need for an M&E system that enables implementing agencies collect accurate data that assists in measuring progress on interventions and assists managers and other stakeholders to steer, take decisions and draw valuable lessons (IFRC, 2011).

According to Nabris (2002), Monitoring and evaluation, in almost all cases, tend to be understood and mostly presented together as if they are one, but in actual fact, they are two distinct sets of

organizational activities and/or management functions which are closely related, interactive and mutually supportive. It is important for programme managers to carefully have an understanding of the concepts and acknowledge the distinction between the two management concepts in terms of when and how they are applied in the management of programmes.

The study adopts the Organization for Economic Cooperation and Development (OECD) (2002), definition for monitoring and evaluation which defines Monitoring as “a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds”. Adding to the OECD definition, Freeman (2003) expounds further that it is “a day-to-day management task of collecting and reviewing information that reveals how an operation is proceeding and what aspects of it, if any, need corrections”. Thus monitoring involves an activity of collecting, recording, analyzing, communicating and using information for the purposes of management control and informed decision-making and if done properly, it as an invaluable tool for good management that provides useful base for evaluation (Shapiro, 2006).

Evaluation on the other hand has been defined by OECD as “the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results” (OECD, 2002). The UNFPA described evaluation as a management tool which is a time-bound exercise that attempts to assess systematically and objectively the relevance, performance and success of ongoing and completed programmes and projects and provide answers to what worked and what did not work and why. It commonly aims to determine five key areas of

the project– the relevance, efficiency, effectiveness, impact and sustainability (UNFPA, 2004). It seeks answers to tell the success stories and failures and further unravel the cause. Typically expressed types of programme evaluation that are carried out at various stages of programmes include the ex-ante (baseline), mid-term (on-going), final (end-of-project) and ex-post evaluation. (See figure2.1).

### **2.3 Relationship between Monitoring and Evaluation**

As indicated earlier, monitoring and evaluation disciplines are separate but interlinked organizational and management functions which are often mentioned and presented together (Gorgens and Kusek, 2009). They interplay with each other along the programme cycle and the shared feature among them is the fact that, the two seek to collect and capture information about progress or performance of programme interventions (UNWFP, 2002). Purposively they are data collection and reporting disciplines that assist in determining how well (or not) a particular programme is performing with recourse to the deliverables and expected changes to aid management decision processes (NGO Connect, 2012). By categorization, Monitoring follows a management model with a focus on improving day to day operations whilst Evaluation uses a research model to assess the extent to which project objectives have been met or surpassed (Levinson et al, 1999). It is therefore very important to note that neither can be substituted for the other. Table 2.1 describes the key distinguishing features among these two disciplines based on such factors as the frequency, purpose, the focus, players amongst others.

Thus from the foregoing, it is inferred that monitoring occurs throughout the operational period of programme intervention and though evaluation is an episodic exercise, based on the purpose, it can be performed at regular intervals in the course of the programme operations (IFRCRCS, 2002) as

depicted in the figure 2.1. Consequently, as Monitoring is a daily or routine management task, it usually precedes, leads up to and forms the basis for evaluation. Findings from monitoring are used as part of evaluation processes (UNAIDS, 2004). According to Hempel and Fiala, (2012), a good evaluation is impossible without a good monitoring.

Table 2.1: Distinguishing Features of Monitoring and Evaluation

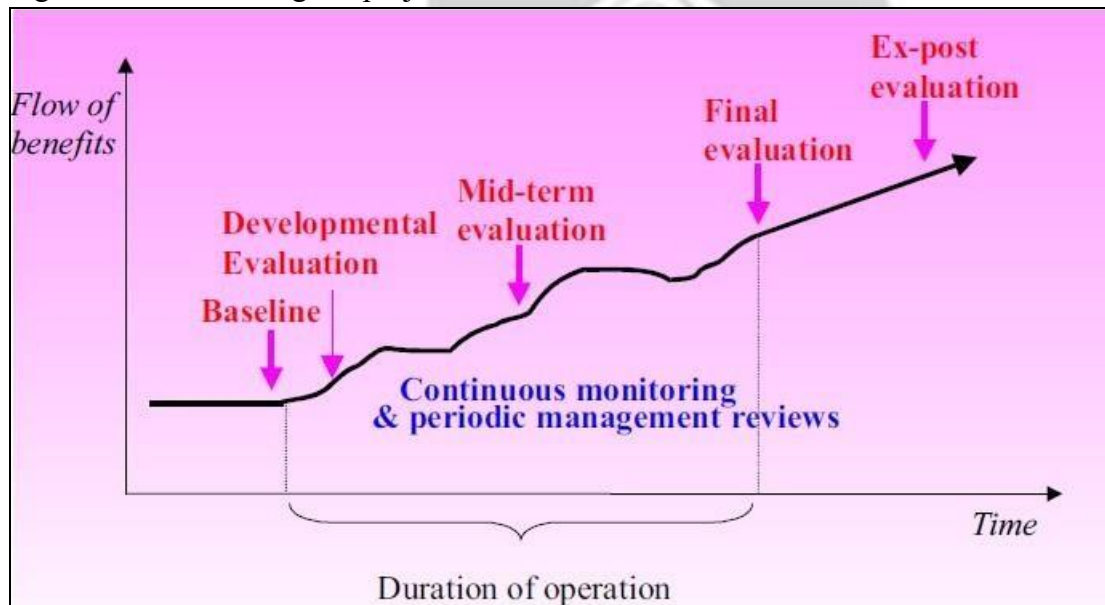
Item	Monitoring	Evaluation
<b>Frequency</b>	On a regular basis (e.g. through progress reports and regular observation)	Episodic, by mid-term or on conclusion (or ex-post, i.e. at least two years after the project has ended)
<b>Main action</b>	keeping track / oversight	Assessment
<b>Basic purpose</b>	Improving efficiency and adjusting the work plan, if necessary	Improving effectiveness, impact and future programming
<b>Focus</b>	Inputs, outputs, outcomes, work plans	Effectiveness, relevance, impact and cost-effectiveness
<b>Information sources</b>	routine or sentinel systems, field observation, progress reports, rapid assessments	Same as for monitoring, plus external evaluation and interactive evaluation, surveys, studies
<b>Undertaken by</b>	programme managers, community workers, community (beneficiaries) supervisors, funders	Same as for monitoring, plus external evaluators (commissioned by donor agencies)

<b>Reporting to</b>	programme managers, community workers, community (beneficiaries) supervisors, funders	programme managers, supervisors, funders, policy-makers community (beneficiaries)
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Adapted from: UNICEF, 1991; UNFPA, 2004; Hunters, 2009

From table 2.1, it is also explicit that, the purpose and audiences of monitoring also differs from evaluation. Monitoring focuses on providing information on whether activities are on track for staff and managers, while evaluations will tend to have a broader scope looking at quality, compliance and policy issues, which can assist field staff in learning lessons that can feed back into current or future projects and policies, as well as inform and provide basis for decision making by senior management, donors and policy makers (ACF, 2011).

Figure 2.1: M&E along the project life



Source: International Federation of Red Cross and Red Crescent Society, 2002

## 2.4 Relevance of Monitoring and Evaluation

As mentioned, different actors are involved in projects, including donors, the leadership of the implementing organization, project managers, field workers, local communities, partners and the

broader public. These groups may have somewhat different interests when it comes to project monitoring and evaluations. Reasons therefore abound as to why development interventions or programme staff and managers undertakes M&E activities and or establishes a system within the management function for ensuring effective Monitoring and Evaluation practices.

Bashagi (2000), considers M&E system as an information source or function for programmes as it supplies information on matters such as efficiency, legitimacy, effectiveness, impact, relevance and sustainability of the project interventions (Bashagi, 2000). This is further established by Welsh (2005) that, the purpose of doing M&E is to help programme managers decide whether activities are being implemented as planned and that information generated through the M&E activities serves as an indication of strength and weakness for the programmes (Welsh, 2005). Thus an effective M&E system presents information on programmes that highlights good practices and identifies gaps in implementation strategies and provides a basis for selecting among options to aid better implementation.

Livenson et al (1999), indicates that with the existence of effective M&E on programme interventions decision-making process improves. According to them, M&E is undertaken to achieve effective and efficient project performance by providing feedback to project managers at all levels, and depending on the findings, decision makers may decide to: continue the project either as it is currently implemented or with revisions; expand the project by increasing the target population; replicate the project in a new setting; or curtail the project and reallocate resources elsewhere (Livenson et al, 1999). Thus M&E is recognized to support evidence-based decision making processes in the implementation of development interventions or programmes through rigorous but cost-effective approaches in collecting and using quality data on programme

performance, results and impacts (ACF, 2011). As a management function, the priority task of an M&E system must be to provide information on programmes in the right form and at the right time that contributes to effective decision making processes (Connelly, 2004). This the M&E system supports by providing programme managers with accurate evidence based reporting as it gathers data from field and stakeholders (IFRC, 2011). It is important to noted that programme monitoring activities as well as ongoing evaluations do not in themselves comprise the decision making process but rather serve as inputs that facilitates project management decisions regarding the programme (Bashagi, 2000).

According to Shapiro (2006), insights gained from information generated through M&E practice help inform policy development and policy analysis work as it gives policy makers the basis to make decisions on development interventions in a particular sector. This enables policy makers suggest areas to develop further or pull out. Again, the IFRC (2011) recognizes M&E as a means of enhancing transparency and upholding to accountability and compliance by demonstrating whether or not tasks are carried out as agreed are in established standards and or donor requirements (IFRC, 2011). Thus instituting or establishing effective M&E systems on development programmes provides a system that enables programme managers meet internal and external accountability requirement by producing evidence based results (ACF, 2011). Establishing M&E systems in programme management creates opportunities for implementing agencies to meet requirements for sponsors as it provides evidence on accomplishments (Bates and Jones, 2012).

M&E system is an educational or capacity building function as it enhances learning among project team. Nabris (2002), indicates that the presence of an effective M&E system, functions as a constant feedback process, giving insight in project beneficiaries, and partners" action so that project team learns from experience and from the experience of others (Nabris, 2002). Thus M&E contribute to organizational learning and knowledge sharing by creating an avenue for reflecting

upon and sharing experiences and lessons which aids programme staff to gain full benefit of what they do and how they do it. The IFRC (2011) indicates that, the practice of M&E in management of programmes is noted to provide opportunities for stakeholder feedback, especially beneficiaries, to provide input into and perceptions about the programme. This motivates stakeholders and generates shared understanding. It is worth noting that monitoring information is not only for project/programme management but should be shared when possible with beneficiaries, donors and any other relevant stakeholders (IFRC, 2011). M&E activities as well facilitate addressing external requirements for compliance and control, such as donor demands for reporting and accountability (Perrin, 2012).

According to Herrero (2012), undertaking continuous monitoring on programmes makes implementing groups keep project activities on schedule, review and update the project plan and costs as necessary, review timelines and deliverables which aid explanations for variances from the original plan. Thus M&E provides programme managers with an advantage of early warning signals in terms of delays and cost variances and provide evidence for reasons. In the UNDP (2002) M&E Handbook, Monitoring is described as perhaps a prime management responsibility of Programme Managers and that it is a good management tool that can be used to improve the way governments and organizations achieve results on any project/programme pursued (UNDP, 2002) they need good performance feedback systems. Despite these elaborated importance of instituting effective M&E systems on programmes, Welsh, points out however that M&E is not a tool that replaces the other specific management functions of planning, leading, organizing and controlling (Welsh, 2005).

## 2.5 Setting up Programme M&E System

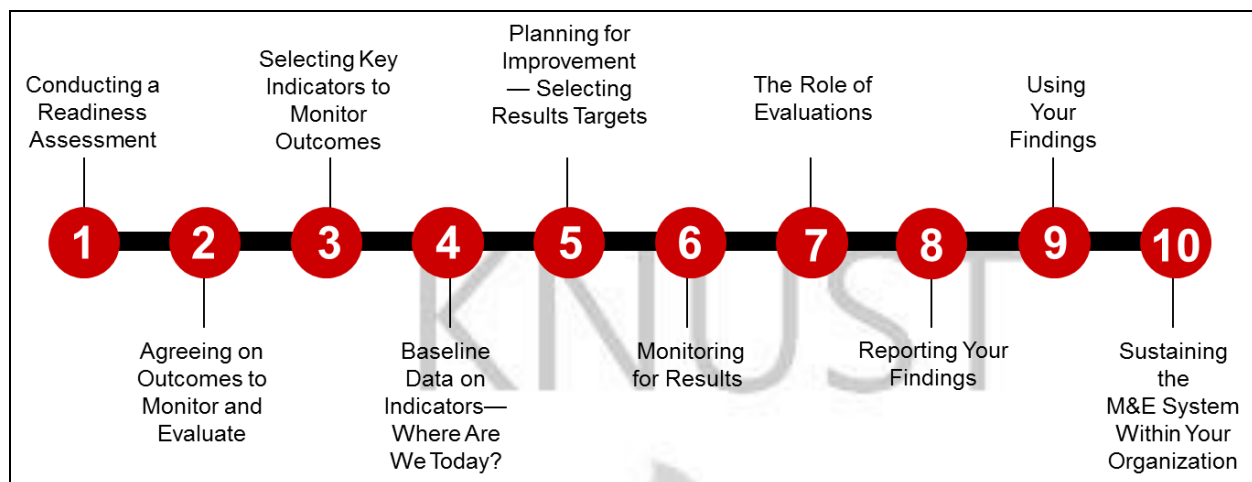
The Global Fund (2009), describes a functional M&E system as the cornerstone that provides the strategic information needed to make good decisions for managing and improving programme performance, formulating policy and advocacy messages and planning programmes better (The Global Fund, 2009). According to the ACF's *Food Security and Livelihood Monitoring and Evaluation Guidelines*, a programme M&E system is a combination of processes, tools, templates, staff, equipment and activities, required to collect, manage, analyze, report and disseminate M&E information (ACF, 2011). Thus a functioning M&E system is an integration of a number of components made up of processes and activities as well as basic M&E resources with the capacity to deliver on programmes ability to collect and manage data. A well-designed M&E system therefore have in detail the methodology or processes for collecting and using data- including purpose/uses of data, type of data to be collected (both qualitative and quantitative), and frequency of data collection. As such the description of a programme M&E system should also specify: indicators to be tracked; meaning of key words; targets (mid-term and final); what tools will be used to collect data; the personnel who will gather, record and analyze the data, (for example, beneficiaries and other stakeholders); and the types of reports that will be prepared, including for whom, why and how often (NGO Connect, 2012).

Setting up an M&E system is more than just building a spreadsheet or database. This suggests that, in setting up an M&E system for a programme, one must to go through certain critical steps or follow through some extensive processes which considered as an exercise that goes beyond a statistical task or just meeting an external obligation (Freeman, 2003). Freeman further advances that setting out the M&E system needs to be planned, managed, and provided with adequate

resources. There is therefore the need for programme managers to systematically decide and document on how a programme Monitoring and Evaluation system is set out, as difficulties exist in going back to set out an M&E systems once projects are underway, for that matter from the word go, programme managers need to gather information on programme M&E system (ACF, 2011).

The question therefore is as to what steps do programme managers need to follow through in setting out the M&E system. Though there is no consensus as to the specific number of steps required of programme managers to set out M&E system, a number of steps have been suggested by different writers, experts or specialist in the field of M&E and organizations alike as a follow through in setting a programme M&E system. For instance, as Freeman (2003), outlined six critical steps, seven steps have been laid out in both the *2008–2011 M&E system for BCPR* and in the FHI (2004) document on *Developing a Monitoring and Evaluation Work Plan* (FHI, 2004). In a discussion paper –*Recommendation for Adaptation M&E in practice*– by the GIZ (2013) five key steps are described to aid setting up of a programme M&E system. It is important to note that though they have an elaborate steps to follow through, they empathically points out that, choosing between the numbers of steps to follow in setting out the M&E system should not be a challenge but for the purposes of reducing ambiguity as to the sequence and activities required at each step, it is better to have a comprehensive and elaborate steps (Kusek and Rist2001). Thus, in building such a system, it is important to provide sufficient differentiation among key tasks involved. Figure 2.2, presents a ten step approach for setting out an M&E system (Kusek and Rist, 2001).

Figure 2.2: Ten steps to a Results-Based Monitoring and Evaluation System.



*Source: (Kusek and Rist, 2004).*

Another critical aspect of an M&E system beside the steps or approach is the need to for requisite M&E tools and documents (ACF, 2011) –templates, plans, etc – which either supports in undertaking the proposed steps in setting out the M&E systems or are produced as outputs or resultant products after going through these laid down steps. Ideally there are core M&E tools/documents that are expected to be available in a functional M&E system. Among others these tools/ documents will include data collection and information management tools related to the way information is collected, collated, analyzed and stored. This should be based on a set of indicators to measure performance. Among other critical tools that are mentioned for an M&E system is the logical framework matrix which is regarded by Spreckley, (2009) as lying at the heart of the project and establishes a clear hierarchy of objectives, from input resources at the bottom to overall outcome at the top. A key function of planning for M&E is to estimate the costs, staffing, and other resources needed for M&E work. It is important therefore for M&E specialists to weigh in on M&E budget needs at the project design stage so that funds are allocated specifically to M&E and are available to implement key M&E tasks (Chaplowe, 2008). The UNWFP (2002) and ACF (2011) respectively identified seven and five core tools of an M&E system as presented in table 2.2 below. This list is may not be comprehensive, nor is it intended to be. Some of these tools and approaches

are complementary; some are substitutes but they are regarded as basic tools for an M&E system (World Bank and OECD, 2004).

Table 2.2: Core tools of an M&E system

Core M&E tools identified by the UNWFP	1. Project logical framework summarizes the project plan and ways of measuring achievements;
	2. Project M&E plan summarizes M&E data to be collected, how, frequency and by whom;
	3. Project budget summarizes project costs including M&E budget resources (depending on project size, the M&E budget line(s) should account for 5–15% of the total budget);
	4. Reporting templates detail what needs to be reported on, frequency and to whom;
	5. Monitoring tools (e.g. questionnaires) detail the methods by which data will be collected.
Core M&E tools identified by the ACF	1. A logical framework.
	2. An M&E plan for data collection and analysis, covering baseline, ongoing monitoring and evaluation.
	3. Reporting flows and formats.
	4. A feedback and review plan.
	5. A capacity building design.
	6. An implementation schedule.
	7. A budget.

Source: UNWFP, 2002; ACF, October, 2011

Gary (2006) argues that in mainstream business practice stakeholder involvement and or participation is progressively gaining prominence and it is regarded principal prerequisite in making decisions for public-policy and its delivery. Stakeholder engagement is as well a key feature that is considered imperative in an effective M&E system for any project intervention UNFPA (2004). Project managers are therefore encouraged to involve relevant stakeholders during the stage of setting out the M&E system. Stakeholders in this sense include any group or individual,

having interest or concern in any activity and or could be possibly be impacted by the activity (Gary, 2006). Participation in development can be defined as the process through which people with an interest (stakeholders) influence and share control over development initiatives and the decisions and resources that affect them (AfDB, 2001). In practice this involves employing measures to: identify relevant stakeholders, share information with them, listen to their views, involve them in processes of development planning and decision-making, contribute to their capacity-building and, ultimately, empower them to initiate, manage and control their own selfdevelopment.

This means undertaking the exercise of setting out and implementing the M&E system should be in a participatory manner as it has an additional value of bringing in stakeholders’ understanding, creating a learning environment by sharing understanding, and facilitates smooth data collection to ensure that results are valid and comparable (Freeman, 2003). Stakeholder engagement according to Gary (2006) should be pivotal in any development programme simply because the participation of the programme stakeholders – like central level decision makers, local level implementers, and communities affected by the programme– in programme design, implementation, monitoring and evaluation, improve programme quality and help address local development needs (UNFPA, 2004) and encourages the development of goodwill, trust, and commitment between key groups (Powell and Vagias, 2010). Neglecting stakeholders sabotages the need for ownership, shared lasting agreements and the right level of support for a project (IFC, 2007). Box 2.1 below indicates level of stakeholder involvement that can pertain in the course of implementing development programme.

Table 2.3 Levels of Stakeholder Involvement

<b>Consultation</b>	<ol style="list-style-type: none"> <li>1. <b>Information Sharing:</b> dissemination, Public meetings, information seminars</li> <li>2. <b>Listening and Learning:</b> field visits, interviews, consultative meetings.</li> <li>3. <b>Joint assessment:</b> participatory needs assessment, beneficiary assessments</li> </ol>
<b>Participation</b>	<ol style="list-style-type: none"> <li>4. <b>Shared decision-making:</b> public review of draft documents, participatory project planning, workshops to identify priorities, resolve conflicts, etc.</li> <li>5. <b>Collaboration:</b> joint committees or working groups with stakeholder representatives, stakeholder responsibility for implementation.</li> <li>6. <b>Empowerment:</b> capacity building activities, self-management support for stakeholder initiatives.</li> </ol>

Source: Adapted from AfDB, 2001, as in World Bank, Participation Sourcebook, 1995.

According to Khan (2003) there are four possible scenarios that can be used to describe an organizations“ or programmes“ M&E system. The first scenario which is termed “Informal M&E system” depicts a situation where there may not be any elaborate measures in place – no M&E system– however, management carry out some functions related to M&E. No section, department or person(s) assigned the M&E tasks, but managers or staff members are conducting activities related to M&E like data collection with tools and techniques that are not standardized. Within this setup though financial support is made available, information generated is shared in limited circles.

In what Khan (2003) describes as the Formal or functional M&E system, here the concept of M&E is well known and understood in the organization and there is a specific M&E mandate with elaborate procedures, functions and activities. There exists a specific section or person(s) assigned to carry out the M&E mandate with set of M&E tools and techniques, and financial support is available for use. Regular reporting is done and feedback received. Information is synthesized and

disseminated to cross section in and outside. Information and analysis ploughs back into the planning regularly and a functional MIS (manual or computerized) exists.

In the third scenario Khan (2003) described it as formalized but not functional as here the concept of M&E is known in the organization and there is a specific mandate encompassing functions and activities related to M&E together with prescribed tools and procedures. There exist a specific section / person but the M&E mandate is not delegated to them and M&E Personnel are not trained and capacitated to carry out M&E functions. Sufficient funding is not provided and there is no interaction between the M&E section/person and other sections with regard to work, no information sharing takes place between the two, no advice sought from M&E and information is seldom disseminated and or used in planning.

The fourth scenario which Khan (2003) referred to as Counterfeit M&E System, is described as operative but for the wrong reasons. The concept of M&E is known in the organization but its purpose is ambiguous and there is a specific section or person(s) assigned to conduct M&E functions, however, neither capacitated nor authorized to undertake the assignment. On the contrary, a kind of reporting prescribed by the higher management is being done within the system for use internally to maintain control. Specific events are carried out to launch reports and publications based on selective informative for publicity and to gain access to donor's funding.

## **2.6 Factors that derail the implementation of an M&E system**

Monitoring and Evaluation as a management activity keeps evolving and as such it is likely to be faced with a number of obstacles in the course of designing and implementation. A number of challenges have been identified by specialist and writers on the subject. These amongst others

include resistance or lack of interest from major partners, limited cooperation and political support and perhaps capacity constraints (GIZ, 2013). Experiencing these challenges may differ from programme to programme and it depends mostly on the setting within which the M&E system is been implemented. A cue is taken from how Khan (2003) describes some possible scenarios – as has been elaborated above – of how a programme or an organizational M&E systems can be classified.

As noted M&E is a powerful management tool that can be used to help policymakers and decision makers track progress and demonstrate the impact of a given project, programme, or policy. Kusek and Rist (2004) see the building of an effective M&E system as easier said than done. And even when the system is built, sustenance becomes a challenge as both building and sustaining the M&E system requires continuous commitment, time and resources, and where it is at the national level, a stable political environment. Some identified challenges associated with setting out and sustaining the M&E system of a particular organization or programme to be subjected to any of the four scenarios will include;

- **Political factors:** according to Kusek and Rist, it takes what they described as a “champion” – a leader – to institute a well and effective M&E system. This they believe is due to the fact that bringing information into the public domain can change the dynamics of institutional relations, budgeting, and resource allocations, personal political agendas, and public perceptions of governmental effectiveness. Thus, the role of a political champion is relevant to ensuring the institutionalization and sustainability of functional M&E systems (Kusek and Rist, 2004).

- **Technical factor:** As a professional field, M&E is comparatively new, as are M&E systems and therefore a critical challenge to the operationalization of the M&E system is the limited experience personnel and institutions. According to Görgens and Kusek, there is a great demand for skilled professionals and capacity in building M&E systems. They went on to mention that there is a dearth of skilled M&E professionals and a lack of harmonized training courses and technical advice available (Görgens and Kusek, 2009).
- **Misconception factor:** Another critical challenge has to do with the fact that there is a prevailing misconception about the purpose of M&E in most project interventions or government sectors –especially in developing countries– (Görgens and Kusek, 2009). Most project implementers have suspicions about the activities involve in M&E therefore tag it as a policing functions. This according them needs to be addressed and debunked to make the system functional (Harvey, 2007).
- Kusek and Rist again mentioned that the **demand for and ownership** of such a system may render it more difficult to be established. Kusek and Rist admit however that, with respect to demand for M&E system, a minimum of interested stakeholders and commitment is necessary for such a system to be established and take hold in any country or organization. Related to demand and ownership is the lack of integration of M&E exercise by government, organizations and project managers. Thus the desire, acceptance, buy-in and the extent to which M&E is embedded in project designs goes far in building and sustaining an effective M&E system (Kusek and Rist 2001).

- **Budget, time, and data collection:** Budget, time, and data collection are other constraints related to M&E particularly the evaluation process. The number of interviews that can be conducted for an evaluation purpose can be limited by budget constraints, so is the possibility of choosing the right data collection methods. The ability to combine quantitative and qualitative data collection and analysis, the size and professional experience of the research team, and the analysis that can be conducted are all bound by the budget. Time implication comes in when determining the life for the M&E processes—begin and ends, even how long researchers can be in the field, and time available for feedback from stakeholders. These factors invariably challenge the M&E system for most project interventions (The World Bank 2006).

## 2.7 Making the M&E System Functional

Putting in place an organizational set up for M&E system does not imply it will automatically function to meet the organizational or programme objectives. It is worth noting that a well functional and well accepted M&E System could give tremendous impetus to the programme and performance of an organization (Gorgens and Kusek, 2009). Vigorous action therefore needs to be taken to make the system effective and fully functional for quality product or service delivery. A number of quality features has been suggested by the World Bank (2004) and Khan (2003).

However, encompassing components of a functional M&E system is presented by Gorgens and Kusek, (2009). Here they described twelve key components (as in figure2.3) of a functional M&E system which offers a framework within which a strong M&E system operates.

Figure 2.3: The 12 Components of a functional M&E system



Source: Gorgens and Kusek, (2009)

Gorgens and Kusek (2009) further classified the first six components as relating to “People, Partnership and Planning” the next four relating to “Collecting, Capturing and Verifying data” and the last one as “Using data for decision making”. They also believed that there is a kind of interdependency among these components and indicated for example that, without aligned organizational structures, collecting routine data or getting people to work together would be difficult. Thus although we need to make each component functional, we also need to remember that the components depend on each other (Gorgens and Kusek, 2009). These components according to Gorgens and Kusek are applicable to M&E systems of different programmes and are

not sequential implementation steps and as such organizations and programmes may focus or prioritized on different sets depending on the status the M&E system.

A balanced combination of the above factors would create a working environment most supportive of M&E function in order to manage projects effectively. Organizations are to find their suitable combination in relation to available resources and M&E requirement. It would help to create a culture of conscious monitoring and evaluation, information sharing, seeking internal assistance in case of problem and most of all sharing credit for success and responsibility for failure (Khan, 2003).

## **2.8 Case Studies of Programme Monitoring and Evaluation Systems**

The experiences of two programmes M&E systems– an HIV/AIDS programme in Malawi and the National Water and Sanitation programme in Uganda– are the focus of the discussion in this section. Though these programmes are national level programmes, they bring to bear the core components of programme M&E system in terms of the design and implementation of the M&E systems as well as some key results achieved and lessons adopted from the implementation of the M&E systems. These are among case studies of programmes cited in the Managing for Development Results (MfDR) book titled; *Principles in Action: Sourcebook on Emerging Good Practices, First edition.*

### **Monitoring and Evaluation System for Malawi National HIV/AIDS Programme.**

How the M&E system was designed

The first step in conceptualization and design of the M&E system was to carry out a number of field visits to faith-based organizations, civil society, public and private sector implementers of

HIV interventions. This field exercise brought to bear a range of information needs among stakeholders HIV/AIDS programmes. Another key step was for the implementers to assess appropriateness of data sources and HIV indicators already existing. In going about the design, it was realized that first and foremost, the system would require dedicated professional staff, with specific activities to be assigned and costs allocated within an annual work plan and budget. It was also identified that, both episodic evaluation (that is, epidemiological surveillance) and routine programme monitoring had to be planned in a meaningful and mutually reinforcing way.

A simple system needed to be designed to translate outputs into results (outcomes and impacts). In designing the M&E system, it was foreseen that the system would need to make room for selfreported data (monitoring by programme implementers) and periodic external data validation and or auditing (evaluation by external evaluators). It was further considered that monitoring the financial component and the programme itself would need to be linked to a Management Information System (MIS) by combining multiple sources. Four linked pillars forms the cornerstone for the eventual system that emerged from the design processes. These were:

(A) *Programme Indicators*. In all 59 set of HIV/AIDS indicators were developed to collect data at input, output, outcome, and impact levels.

B) *Data sources*. Twenty (20) key data sources were identified to incorporate data into the system. Besides the sources responsible personnel for collecting the data, the frequency, as well as the funding source were instituted.

(C) *Information products*. The system defines the M&E information products (reports) to be generated, starting with regular reports by the commission.

(D) *Stakeholders*. The system defines who information products are to be produced for, and when and how they are to be disseminated.

With this conceptual scheme in place, a detailed implementation plan was then developed and roadmap for how each indicator would be defined, specific data to collect and data sources as well as the specific information products content needed to meet stakeholders' information needs. Also the responsibility who to define, approve, and disseminate reports and even how the system would be managed were all considered

### Implementation

The diversity of stakeholders and the multi-sectoral approach demanded incremental, step by step implementation. First, the new MIS had to be developed and installed. Simultaneously, meetings were held with 20 data providers, whose feedback led to many innovative refinements of the system. Continuous interactions with stakeholders and donors were carried which ensured that appropriate monitoring reporting requirements would be included in all HIV/AIDS-related documentation produced by the commission and its partners. Capacity building for grassroots organizations was planned for and a curriculum and briefing documents were developed for training.

### Key Problems Faced

- *The involvement of local communities in the commission's new Activities Reporting System is a challenge*". This was basically due to the lack of fulltime staff to basically manage and coordinate activities at the local level affected the extent and quality participation of the various districts and even at national. This became as a lost opportunity brought significant cost that was resolved retrospectively (a much more time consuming process).

- *“Inappropriate utilization of M&E staff”*. The key challenge here had to do with the frequent assignment of M&E staff to tasks other than their core responsibilities regarding the system.

This led to insufficient time required to comprehensively build the system and promote its use.

- *“Inappropriate disaggregation of indicators”*. Indicators for reporting were not well disaggregated and this resulted in frequent disaggregation of output indicators to aid full reporting of programme monitoring results.

### Results Achieved

- Training on the system was provided for number of stakeholders from about a hundred and fifty (150) organizations –50 from the private sector, public sector, and civil society.
- A number of M&E information deliverables like quarterly reports as well as the annual HIV/AIDS M&E reports are being generated.
- A momentous change regarding the use of electronic information management system occurred. The use of online management of data was enhanced as a data manager at the national level was engaged.

### Lessons learnt

- It was identified that though planning is a good thing the much time demarcated for it undermined the operational progress.
- Capacity building curriculum in M&E should be comprehensively drawn from the top level and should not be limited for the local level
- To achieve synergies and maximum advantage, national level or programme M&E system should be allied with other M&E systems and their related MIS systems.

- An M&E system at the national level or programme level have need of devoted, well-trained, interdisciplinary team with capabilities which goes afar the normal and limited personnel focus.
- All associated policy and programme strategy documents must capture and showcase clearly M&E reporting requirements during the design of an M&E system.

## Conclusion

The Malawi case study depicts a system that should assist the country's AIDS Commission to succeed in getting the requisite development results and thee core principles adopted can be replicated in the management for M&E results. Thus system do not only presents principles for an enabling environment for achieving M&E results, but also how M&E results can be managed as well.

## Uganda Water and Sanitation Sector M&E System (MfDR, 2006)

### Design and Implementation

In an attempt to improve the M&E capacity of the Water and Sanitation sector of Uganda, the government instituted a new Performance Measurement Framework. The key intentions were to, first, make the sector significantly improve results-oriented measurement, and secondly, make available well-timed sector annual progress data and analysis and continuous discourse with donors. Hitherto, the indicators for the sector evaluation were primarily based on physical outputs and not results. Typically, the sector reports were basically on number of boreholes drilled and latrines constructed which does not indicate the level of improvement these physical outputs were

generating. In 2003 therefore a consultant was called on to prepare a report for the sector and following this report, some sector stakeholders joined hands with the consultants to develop Performance Measurement Framework (PMF).

From this exercise what they call a set of “*golden indicators*” was developed which were well defined at the sector and subsector levels. Another key outcome was the fact that for each indicator a consensus was reached to have a primary *data source* as well as a secondary *data source*. How to *disseminate and use of findings and recommendations* was key in the implementation process as better performance measurement should lead to better decisions in terms of policy making and resource allocation, and identification and dissemination of good operational practices.

#### Key Problems Faced

- “*Inability to Find the right “home” for the process*”; The limited incentives coupled with the other non-M&E related duties assigned to most of the technical staff –government workers– used in collecting data, analysis and reporting affected prioritization of the task.
- “*Good data, bad data, and no data*”: The sources from which data were obtained on water and sanitation were mostly not reliable. This impacted decision made with such unrealistic data acquired.

#### Key Results

The water and sanitation sector regarded the borne of the Performance Measurement Framework as innovative and a good initiative towards a progressive work. In 2003 and 2004 comprehensive

sector reports were produced for the sector and these reports served as an information repository for Joint Sector Reviews by making available key information for the reviews. These reports have had some repercussions on the sector policy especially in poverty alleviation – for instance, areas where majority of the poor live are enjoying more resources as much commitments are made there. This is basically due to issues raised in the reports.

### Lessons Learned

- Planning and allocation of adequate resources and time for management of the work is an important factor for performance.
- It is important to build on and maintain already existing stakeholder relationships and make sure their inputs are well integrated.

- Golden indicators should be defined well and much capacity building should be provided

**Conclusion**  
This experience is considered be relevant to other programmes and countries and could be replicated when the right support is provided.

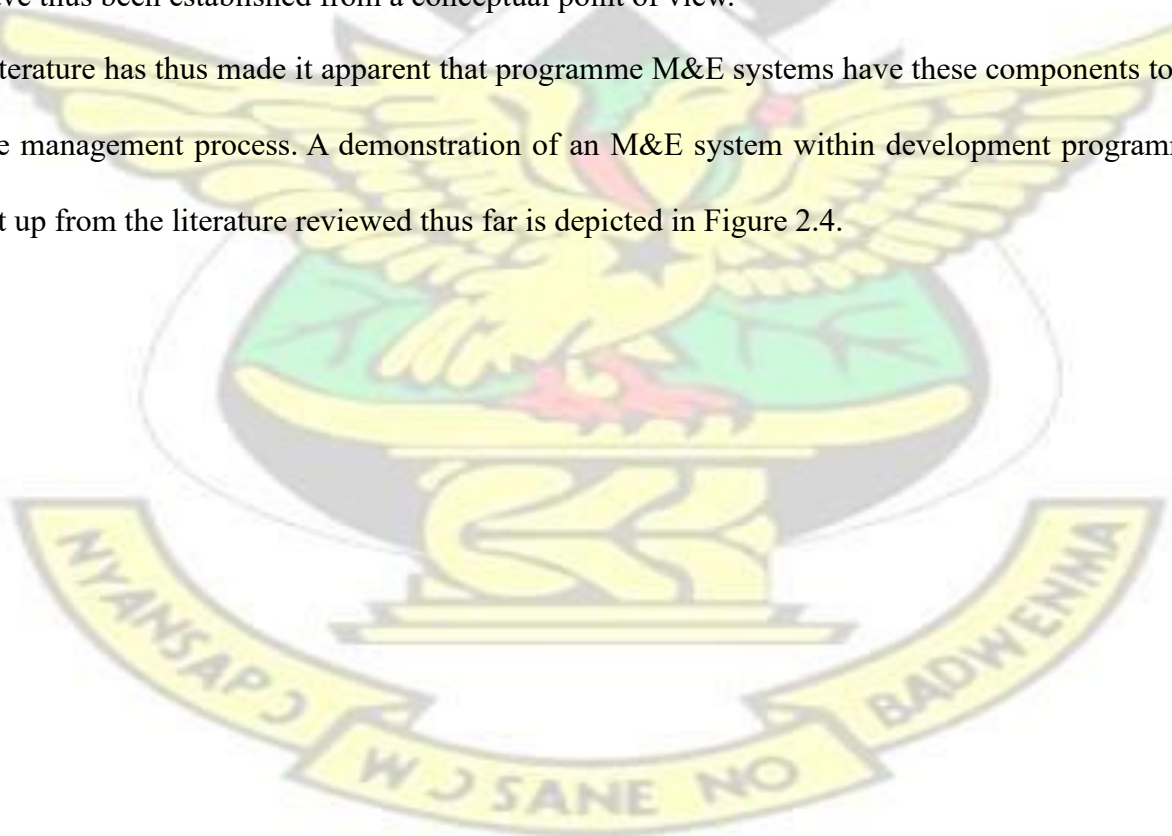
### 2.9 Implication of the Case Studies and literature

The two case studies present to a large extent a depiction of how an M&E system for a programme should be designed and implemented. It further brings out some core components that should be present for an M&E system, citing the need to go through some critical steps in setting up the M&E system like consultations with stakeholder, setting and defining indicators, instituting capacity building, looking out for data sources and designing means of sharing M&E information. Both M&E systems further show that by following through the design and implementation steps such

systems can be applicable to all programmes irrespective of the level –national, agency or organizational.

The literature reviewed thus far has thrown light on what goes into setting up an M&E system in terms of key steps and or processes that are desirable to be followed. It also highlights core tools required for undertaking programme M&E. Again, attention was also paid to the factors that need to prevail to aid smooth implementation and effectiveness of the M&E system. Instituting an M&E system on a programme is expected to have some repercussions and the literature reviewed, has thrown light on some benefits likely to be experienced when appropriate steps for setting out an M&E systems are followed and the factors that could derail the its operationalization. Thus the prerequisites of an M&E system for development programmes inclusive of livelihood programmes have thus been established from a conceptual point of view.

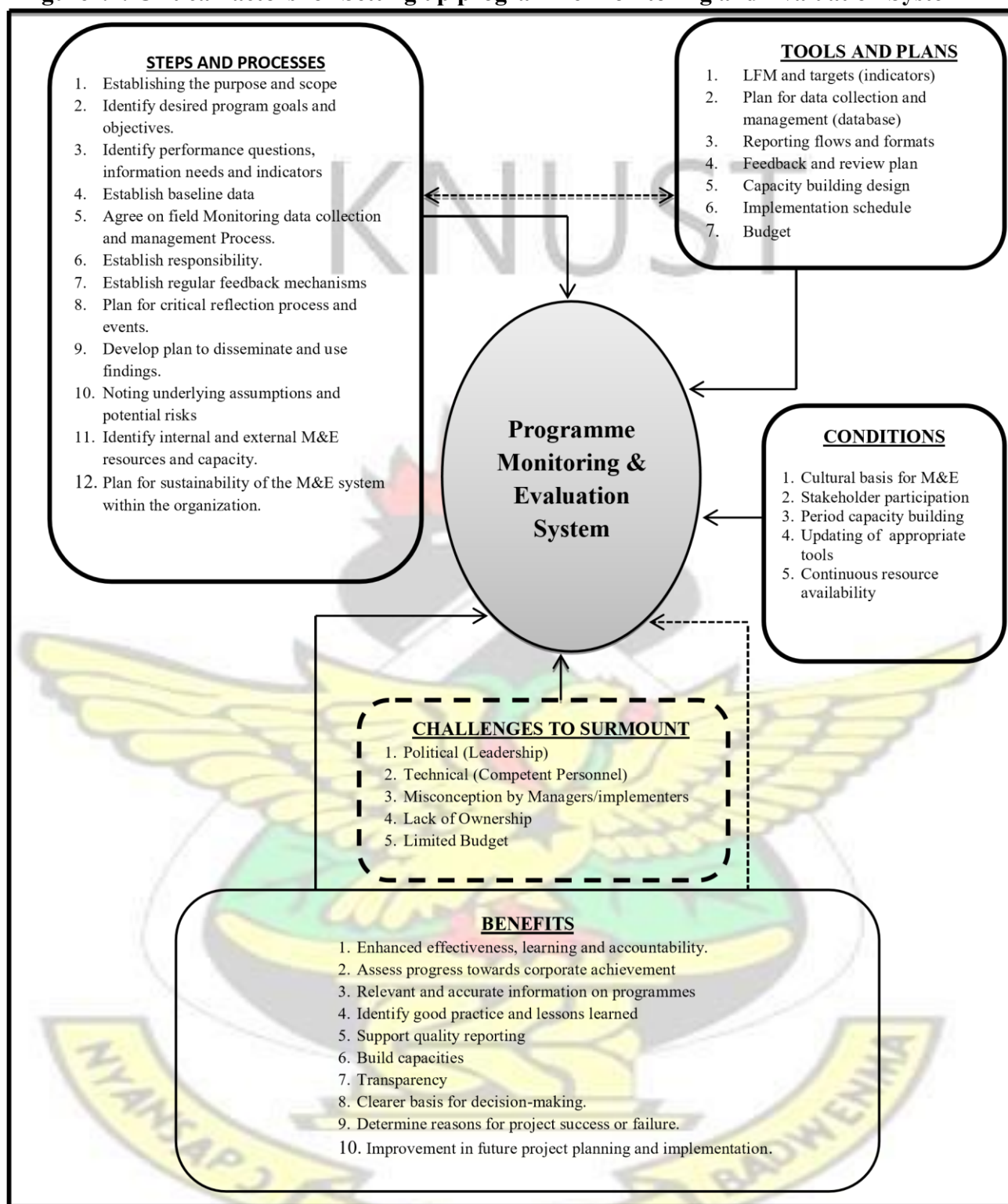
Literature has thus made it apparent that programme M&E systems have these components to aid the management process. A demonstration of an M&E system within development programmes set up from the literature reviewed thus far is depicted in Figure 2.4.



# KNUST



**Figure 2.4: Critical factors for Setting up programme Monitoring and Evaluation System**



Source: Authors Construct

Figure 2.4 therefore summaries the conceptual basis from the literature reviewed for the study. The figure indicates a relationship between initial steps and or processes required in setting out M&E

systems and the tools that assists the processes or that emerges as outputs from the processes to aid Monitoring and Evaluations on the programme. The figure further depicts certain key factors must prevail to make the system functional. Last but not the least, is the mentioning of key challenges that are likely to emerge but need to be surmounted in order to reap the benefits of the M&E system. The piece of contributing features of an M&E system within a development programme has therefore been depicted in Figure 2.4.

The literature reviewed and the conceptual framework – as in figure 2.4 – therefore serves as the basis for this study and provides a benchmark against which the M&E systems of social development programmes especially the selected livelihood programmes was subjected to. This framework assisted in assessing and identifying gaps in the M&E systems of the selected programmes and further guided in proposing appropriate management measure for making M&E systems of social development programmes a robust one. This therefore sets a premise for the study to gauge the M&E systems of the selected livelihood programmes.

### **CHAPTER THREE:**

#### **PROFILE OF SDUTY AREA AND STUDY METHODOLOGY**

##### **3.1. Introduction**

This chapter presents the background to the study area in which the selected programmes operates and continues to provide a brief description of the selected programmes for the study.

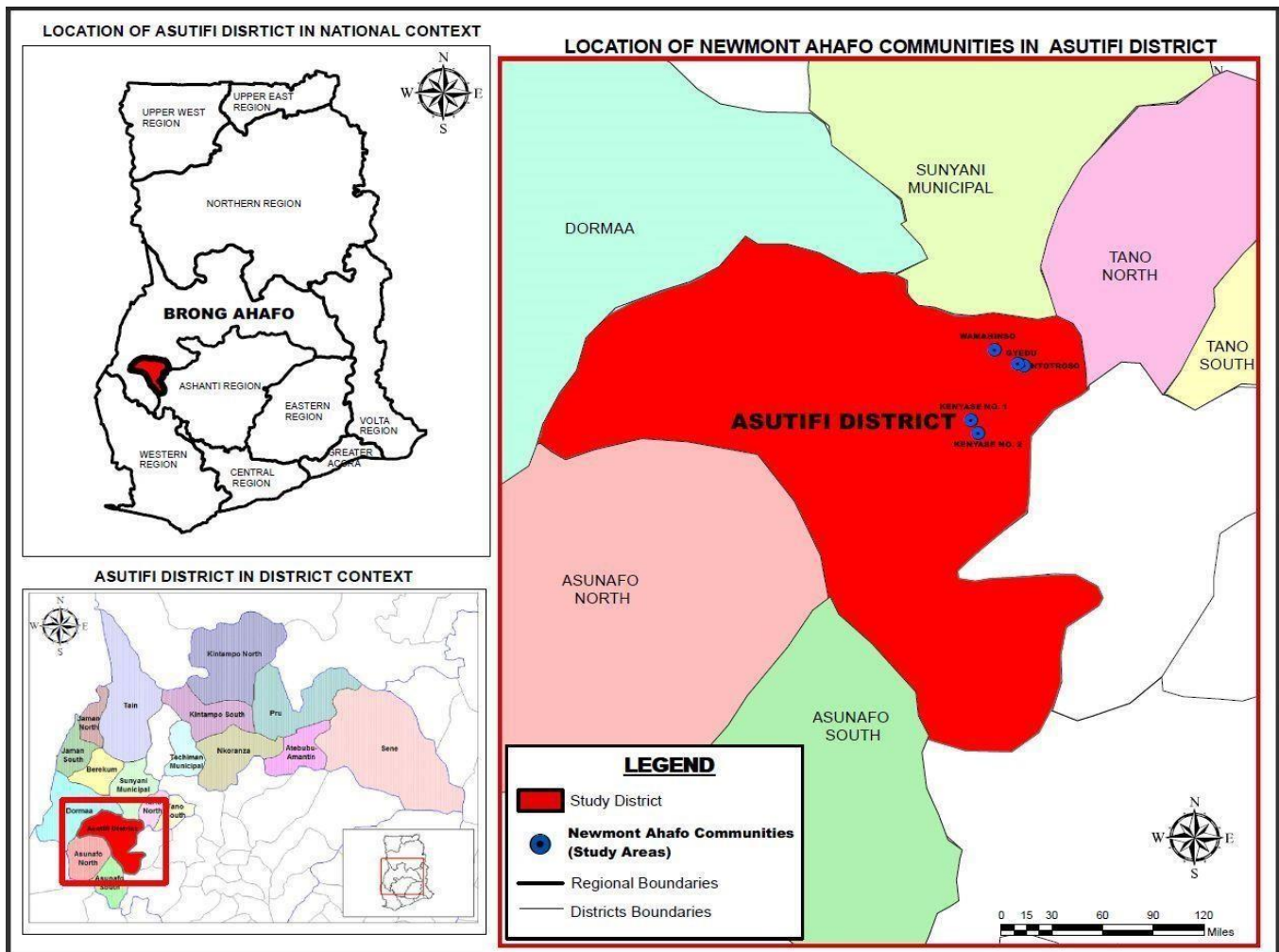
Techniques and procedures employed to carry out the study is also presented in this chapter. Thus, the research design adopted as well as data requirements of the research, the sampling procedure for data collection and methods of data analysis are detailed in this chapter.

### **3.2. Brief Background of the Study Area**

The Ahafo mine area falls within Asutifi North District and is located 300 kilometers northwest of Ghana's capital city Accra. Kenyasi is the district capital and it is located about 50km from Sunyani, the Brong Ahafo regional capital. It shares boundaries with Sunyani Municipal Assembly in the North, Tano South District to the North East, Dormaa Municipal to North West, Asunafo North Municipal Assembly and Asunafo South District in the South West and Ahafo Ano South and North Districts (Ashanti Region) in the South East.

The district attracted Newmont Ghana Gold Limited (NGGL), one of the mining giants in the world to mine gold within its boundaries. The area of operations of NGGL is what is referred to as the Ahafo Mine Area and the major communities within the operational area include Kenyasi No. 1, Kenyasi No. 2, Ntotroso, Gyedu and Wamahinso (see figure 3.2).

Figure3.1: Location of the Asutifi District

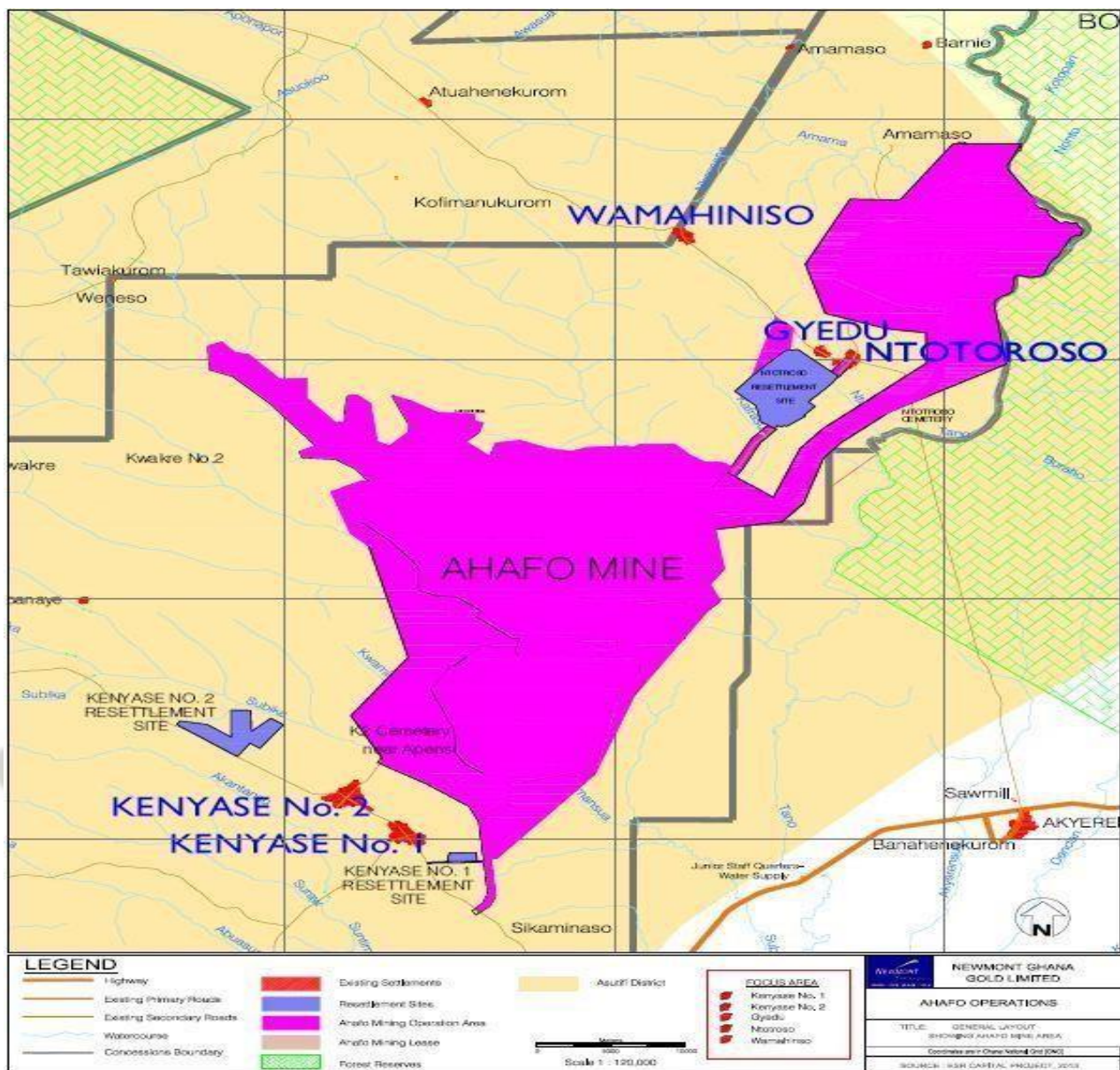


Source: Land Access Department–NGGL; Asutifi Town and Country Planning

The dominant indigenous inhabitants in the area are the people of Ahafo. However, due to farming and recently the mining activities, different ethnic classes have migrated into the District. The predominant occupation in the district is subsistence agriculture which engages 66.7 per cent of the economically active labour force. The rural nature of the district coupled with recent influx of job seekers to the mine-take areas and the limited employment opportunities accounts partly for this skewed occupational distribution in the District (Source: [www.ghanadistrict.com](http://www.ghanadistrict.com), Ahafo mine Resettlement Action Plan, August 2005, NGGL–Amoma

RAP, 2009).

Figure 3.2: Map Indicating Communities within the Ahafo Mine Area.



Source: Land Access Department–NGGL

### 3.3. Description of the Livelihood Programmes

The International Institute for Sustainable Development (IISD) defines a „livelihood“ as the capabilities, assets (stores, resources, claims and access) and activities required for a means of living (Agobia, 1999). It connotes the means, activities, entitlements and assets by which people

make a living. Livelihood, in this study, is limited to agriculture (livestock keeping and/or crop production) activities by which people make a living. Within the mining sector, the livelihood concept has been adapted and defined as alternative livelihoods (AL), which are projects that are primarily aimed at compensating and re-establishing those who have been relocated or adversely affected by mine activities. ALs are basically defined as projects or activities not relating directly to the primary business of the companies in Ghana's mining industry (Afenu, 2006).

A number of livelihood programmes are being implemented in the Asutifi district of the Brong Ahafo region by Newmont Ghana Gold Limited and its partnering implementers. These programmes necessitated by the results of the impacts of the mine activities on the people in the area. In the 2009 Resettlement Action Plan for the Newmont Ahafo South project, it is indicated that livelihood and community development initiatives will be established to help impacted persons and households re-establish their livelihood or create new ones. In addressing this therefore, Newmont initiated livelihood programmes like– Skills Development and Income Improvement Programme (SDIIP), The Agricultural Improvement and Land Access Programme (AILAP) and the Vulnerable People's Programme (VPP).

These programmes are being sponsored by Newmont with implementing partners like Opportunities Industrialisation Centres International (OICI), the Traditional Council, the communities, the District Planning and Coordinating Unit (DPCU), District Agricultural Development Unit (DADU), Guards of Earth and Vulnerable, District Health Directorate, District Education Service and Social Welfare Department. The target beneficiaries consist of persons directly affected by the Mine operations living in Ntotroso, Gyedu, Wamahinso, Kenyasi No. 1, and Kenyasi No.2. A description of SDIIP, AILAP and the VPP is as follows:

### 3.3.1 Skills Development and Income Improvement Programme (SDIIP)

The SDIIP, which was designed and implemented to address the needs of those mine impacted people directly affected by the mine activities, has been operating since 2009. The programme is being implemented by Opportunities Industrialization Centers International (OICI) a nongovernmental organization with Newmont Ghana Gold Limited (NGGL) as its main sponsor. The goal of the programme is to re-establish livelihood and improve quality of life of men, women and children who are affected directly through resettlement and relocation due to mine operations. The programme component is designed to provide technical training to impacted farmers for them to improve abilities in such areas as;

- Animal Production(basically Sheep rearing, pig production and poultry);
- Micro-Enterprise Development (Soap production, Bakery and Mushroom production);
- Youth in Vocational and Technical Skills training for self-employment and job placement (Carpentry, Welding and fabrication, Catering, Dress making and Electrical) and
- Access to microcredit.

Besides the provision of technical training, start-up inputs are provided to beneficiaries in order to help them establish livelihood or a business. Monitoring and evaluation is an integral part of the programme and M&E plan has been instituted.

### 3.3.2 Agricultural Improvement and Land Access Programme (AILAP)

The Agricultural Improvement and Land Access Programme has been in operation since February 2006. The programme is being implemented by NGGL with support from OICI and the District Agricultural Development Unit. The main focus of the AILAP is to maintain or exceed preprogramme levels of crop productivity and ensure compensated farmers have access to land by:

- Providing, free of charge, improved agricultural inputs sufficient for two acres for one crop season, to every person compensated by the Company for cropped land taken in the Programme area and that has arable land of two or more acres; and
- Facilitating land access for every person compensated by the Company for cropped land, and that currently does not have access to a minimum of two acres of arable land. When farmers obtain access to a minimum two acres of arable land, they become eligible for agricultural inputs.

AILAP offers four agricultural assistance packages based on the provision of standard field inputs, extension services, and a choice of various crop packages. In addition to agricultural assistance packages, compensated farmers are eligible for cash assistance for pre farming clearance of land and weeding assistance.

### 3.3.3 Vulnerable People's Programme

The Vulnerable People's Programme which operates within the mine impacted communities is run collaboratively by Newmont, OICI as well as a local Non-Governmental Organization, the Guard of the Earth and the Vulnerable (GEV). The Vulnerable People's Programme was also drafted by NGGL in February 2006 with the goal of providing a safety net for those households directly impacted by the mine and assist people to become self-sufficient. As a safety net, the Programme does not aim to eliminate all poverty but rather is part of a suite of programmes being implemented by the Company, government, and others, which address broad community benefits.

The objective of the VPP is to identify, assess, support, remediate, and follow-up PROGRAMMEaffected households experiencing severe transitional hardship due to the mine development. The Programme is designed to address and manage people and households that were vulnerable before the mine although international best practice does not hold a company accountable for such preexisting vulnerability. Assistance is provided in the form of cash, training, health insurance, educational support, counseling, and nutritional support (food basket) to people identified to be vulnerable after some assessment of their socio-economic status.

### **3.4. Research Design**

The study adopted case study approach as research design and it was mainly designed to be mainly qualitative with minimal quantitative. This was also due to the fact that a specific phenomenon – programme M&E system– was identified to be examined and the analysis of the phenomenon was focused specifically on the M&E systems of the three selected livelihood programmes in the study area. Yin (2003), provides the understanding that case study approach communicates a story about something unique, special, or interesting about individuals, organizations, processes, programmes, neighborhoods, institutions, and even events (Yin, 2003 as cited in Neale et al, (2006).

This approach was adopted mainly because the study seeks to describe the M&E systems of the various programmes selected and how it can be improved. As an explanatory method, case studies make it easy to ask and seek answers for the necessary „how“, „when“ „what“ and „why“ questions associated with why the adoption or otherwise of such systems (Yin, 2003). Another reason for choosing case study method to carry out the research was because as Yin (2003) puts it, case studies are predominantly used to investigate contemporary phenomena and the phenomenon the study seeks to investigate into is a contemporary one and can be situated amongst livelihood

programmes. The approach assisted in discussing issues in terms of resemblances and divergence in the various components of M&E systems of livelihood programmes in relation to the processes/steps, tools/plans and resources required for an effective M&E system.

Attention was paid to possible limitations and challenges associated this approach. For instance, Neale (2006) identify gathering of lengthy information due to details in narratives which holds reader's interest as a key limitation. However this was curbed by been brief and succinct on issues identified for the study. Again, in using a case study approach there is always a challenge if respondents for the study fail to turn up which could results in limited data for the research (Neale, 2006). Also investigator's own biases and inaccurate judgments on data gathered also posed a challenge however, proper proactive planning and adequate preparation like choosing above a minimum threshold and consultations with implementing organizations were made to curtail these challenges.

### **3.5. Data Sources**

Both primary and secondary sources were consulted for data in this study. As a part of the study, necessary data from programme documents, field reports, evaluation reports and other available related documents were reviewed. Key primary data collected for this study included data obtained from programmes managers and staff as well as the Newmont M&E department on the processes, activities and tools that make the M&E systems of the various programmes and its impacts on the management functions. Also programme beneficiaries were approached to assess their involvement and understanding of the programmes' M&E systems.

Other key stakeholders including Assemblymen, Social Welfare Department (SWD), District Agricultural Development Unit (DADU) and District Planning and Coordinating Unit (DPCU) were approached on the subject of stakeholders' involvement in the M&E systems of the programmes. These stakeholders were chosen based on the fact that they influence decisions and policies affecting the operational areas of the selected programmes. Table 4 indicates the key data sources of the study.

Table 3.1: Key primary data sources for the study.

Data Source		Data collected	Method of Data Collection
AILAP	Programme Manager	<input type="checkbox"/> Structure of the M&E systems <input type="checkbox"/> Utilization of the M&E system	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Questionnaire administration</li> <li>• Face to face interview</li> </ul>
	Programme staff	<input type="checkbox"/> Effectiveness of M&E system and impacts <input type="checkbox"/> Stakeholder participation	
SDIIP	Programme Manager	<input type="checkbox"/> Structure of the M&E systems	<ul style="list-style-type: none"> <li>• Desk review</li> </ul>
	Programme staff	<input type="checkbox"/> Utilization of the M&E system <input type="checkbox"/> Effectiveness of M&E system and impacts <input type="checkbox"/> Stakeholder participation	<ul style="list-style-type: none"> <li>• Questionnaire administration</li> <li>• Face to face interview</li> </ul>
VPP	Programme Manager		<ul style="list-style-type: none"> <li>• Desk review</li> </ul>

	Programme staff	<input type="checkbox"/> Structure of the M&E systems <input type="checkbox"/> Utilization of the M&E system <input type="checkbox"/> Effectiveness of M&E system and impacts <input type="checkbox"/> Stakeholder participation	<ul style="list-style-type: none"> <li>• Questionnaire administration</li> <li>• Face to face interview</li> </ul>
Community	Programme Beneficiaries	<input type="checkbox"/> Stakeholder participation <input type="checkbox"/> Effectiveness of M&E system	<ul style="list-style-type: none"> <li>• FGD</li> <li>• Interviews</li> </ul>
	Assembly Members	<input type="checkbox"/> Stakeholder participation <input type="checkbox"/> Effectiveness of M&E system and impacts	<input type="checkbox"/> Face to face interview
Asutifi District Assembly	District Planning Officer	<input type="checkbox"/> Stakeholder participation <input type="checkbox"/> Effectiveness of M&E system and impacts	<input type="checkbox"/> Face to face interview
DADU	DADU Director	<input type="checkbox"/> Stakeholder participation <input type="checkbox"/> Effectiveness of M&E system and impacts	<input type="checkbox"/> Face to face interview
Social Welfare Department	Social Welfare Department Director	<input type="checkbox"/> Stakeholder participation <input type="checkbox"/> Effectiveness of M&E system and impacts	<input type="checkbox"/> Face to face interview

### 3.6. Sampling Technique

The study adopted a mix or multi sampling approaches in selecting respondents. First and foremost, the livelihood programmes – AILAP, SDIIP and VPP– that served as the pivot for the study were selected purposively on the basis of the existence of M&E systems within the programmes set up. In addition, all the programmes operates in the five major mine impacted communities in the Ahafo mine area.

Purposive sampling technique was adopted for the selection of the programmes manager/coordinators as well as three (3) programme staff. The premise for selecting four for each programme was basically due to the fact that the VPP had a limited programme staff – three (3)

plus one Coordinator. The programme managers and staff were basically selected due to their direct involvement in the management of the programmes which understandably makes them equipped with in-depth and necessary data regarding the M&E systems of the programmes required for the study. The District Planning Officer, SWD Director and the DADU Director were as well selected purposively because they are respectively directly responsible for the policy implementation, the vulnerable and agricultural programmes within the district within which the selected livelihood programmes operates.

Systematic sampling approach was used in selecting participants for the FGDs. First after receiving the beneficiary lists from the programme implementers, –arranged in alphabetical order–they were sorted out and grouped or disaggregated into male and female lists for each of the programmes. Taking a cue from a guide for conducting FGDs which indicates that the number of participants are not supposed to be that large and or too small (Elliot and Associates, 2005) – ideally six to ten as suggested by Kruger (2002) – ten (10) participants for each session was targeted. The selection of the ten (10) participants was done using the systematic sampling method where every tenth person on the disaggregated list, by counting was selected to participate in the sessions. Fifteen persons each were selected from the lists after which the eleventh to fifteenth was used for the mixed group sessions. The sessions for the VPP beneficiary groups were lessened due to the limited number of male beneficiaries. In all seventy two beneficiaries participated in the focus group discussion session for the study. The distribution of participants for the FGDs has been presented in table 3.2.

Table 3.2: Distribution of respondent for the study

Programme	Participating Groups	Number of participants	Total participants
<b>Programme Beneficiaries Focus Group Discussions</b>			
VPP	Female beneficiaries	9	72

	Mixed group	9	
AILAP	Female beneficiaries	8	
	Male beneficiaries	10	
	Mixed group	10	
SDIIP	Female beneficiaries	10	
	Male beneficiaries	7	
	Mixed group	9	
Total		72	
<b>Questionnaire</b>			
SDIIP	Programme Staff	3	12
	Programme Manager	1	
AIALP	Programme Staff	3	
	Programme Manager	1	
VPP	Programme Staff	3	
	Programme Manager	1	
Total		12	
<b>Key Informant Interviews</b>			
Institutional Reps	District Planning Officer	1	4
	DADU Officer	1	
	Social Welfare Department Director	1	
Newmont M&E Department	Newmont M&E Technical Coordinator	1	
		4	
Total		88	

### 3.7. Data Collection Methods and Tools/Instruments

The study utilized a combination of qualitative and quantitative research methodologies to collect data in order to gain an understanding of the of the M&E systems of the selected programmes. The methods consisted of a desk reviews and fieldwork as well as analysis and compilation of the report. The fieldwork component consisted of such methods like Key Informant Interviews (KIIs), Questionnaires administration and Focus Group Discussions (FGDs) for in-depth discussions.

### *Desk Reviews*

Desk reviews of available programme documents were carried out. Substantial background information was made available on the study area and the livelihood programmes which was provided by Newmont M&E Department and the programme implementers and these were reviewed incorporated appropriately in the study. The documents and data which were reviewed include the following:

- AILAP, SDIIP and VPP Programme documents
- M&E Manual
- Resettlement Action Plans • Med-Term Evaluation report
- Monitoring reports etc.

### *Questionnaire Administration*

Structured questionnaires were used for the collection of data on the various aspects of the programmes M&E systems after the desk reviews. A set of close and open ended questions were set and administered targeting programme managers and staff who were purposively selected. The data generated also served as inputs for the design of questions for KII and FGDs which served as a form of triangulating of data for quality assurance purposes.

### *Key Informant Interviews (KII)*

Additional data was collected using an unstructured questionnaire (interview guide). Face to face interviews were held with programme managers and programmes stakeholders –Assembly members, the District Planning Officer, the DADU Officer and the SWD Director. The purpose of the interviews was to gain further insight into the M&E systems of the programmes and the level of stakeholder participation in M&E activities after the desk review. Recorders were used besides notes for taking

key issues raised during the interviews. The recorded voices were later played and transcribed and the issues raised were used to support other findings.

#### *Focus Group Discussions (FGDs)*

Three focus group discussions (Female, Male and Mixed groups) each were organized for beneficiaries of AILAP and SDIIP whilst two sessions (Female and Mixed group) were held for the VPP beneficiaries (see table 3.2). However due to the limited number of males on the VPP, male beneficiary group session could not be organized as planned, hence the option of going in for the mixed group in addition to female group. In all eight (8) sessions were held among programme beneficiaries, aimed at addressing topics of common concern from programme beneficiaries in the context of the M&E activities of the programmes such as participation, effectiveness and benefits. Recorders were used besides notes for taking key issues raised during these FGDs. The recorded voices were later played and transcribed and the issues raised were used to support the findings from the responses from programme implementers and stakeholders.

### **3.8. Data Analysis**

Data collected for the study were extensively analyzed qualitatively with minimal quantitative analysis. The qualitative data collected through the KIIs and FGDs sought to determine specific pieces of information pertaining to the different livelihood programmes per the study variables. The qualitative data collected were analyzed on thematic basis per the objectives and key quotes from the KIIS and FGDs were inserted in the analysis. The data gathered from the qualitative approaches were used to triangulate, buttress and expound on the data from the desk reviews and the quantitative approaches. The quantitative data was analyzed using descriptive statistical methods to generate statistical tables. The qualitative and quantitative data were compared

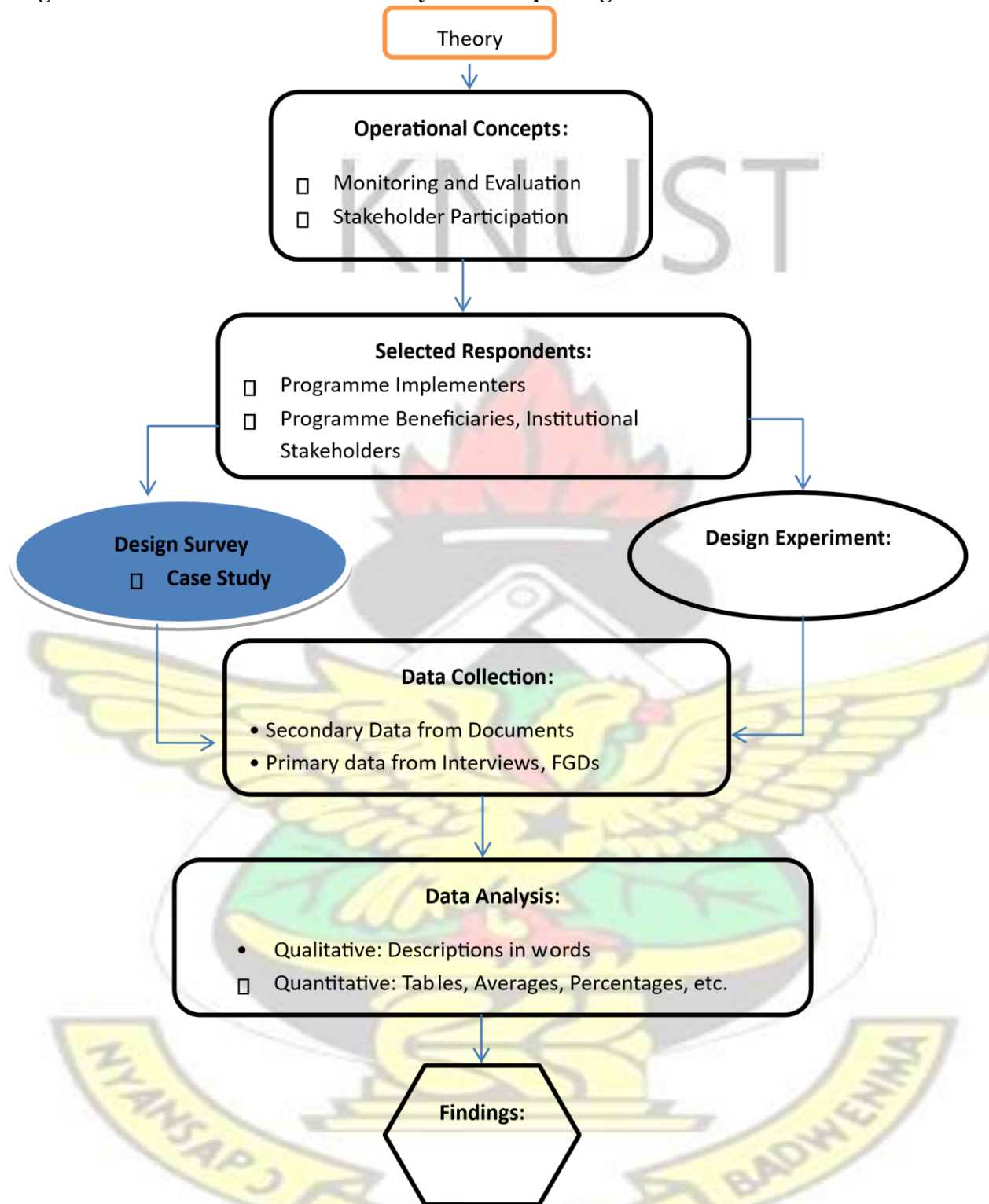
(triangulated), where possible, to increase the accuracy of data presented in this study. Thus data collected from the various sources for this study were presented using descriptive and explanatory analysis and appropriate interpretation and inferences were made.

### **3.9. Analytical and Reporting Framework**

Figure 3.3 below is a diagrammatic illustration of a data analysis and reporting mechanism adapted from Waugh (1995) as in Asamoah (2010). It presents a summary of the key features of the analytical framework the study adapted. It portrays a summary of the methodology and the analytical techniques that were used in the course of undertaking this study showing the stages of research methodologies that the study adapted.



**Figure 3.3: Framework for Data Analysis and reporting**



**Source:** Adapted from Waugh (1995), as in Asamoah (2010)

#### **CHAPTER FOUR: MONITORING AND EVALUATION SYSTEMS OF SELECTED LIVELIHOOD**

## PROGRAMMES

### 4.1 Introduction

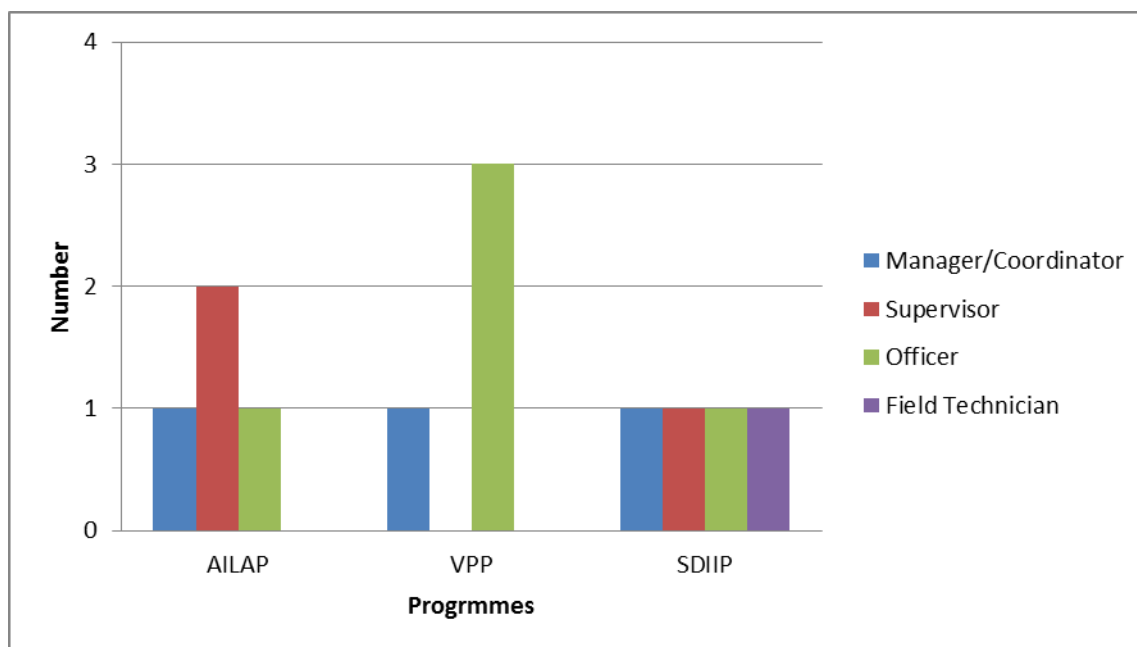
This chapter begins with a presentation of profile of respondents followed with findings from the field per the specific objectives of the study. It examines the level of integration of M&E systems in the management functions of livelihood programmes, followed by utilization of the M&E system and its influence on the management of livelihood programmes and ends with assessment of the degree of involvement of relevant stakeholders in the implementation of M&E function of the programmes.

The study was carried out with responses from four main respondent groups as in table 3.2. These included programme implementers of the selected livelihood programmes, programme beneficiaries and representatives from the District Planning and Coordinating Unit, District Agricultural Development Unit, Social Welfare Department and Assembly members.

#### *Programme staff*

Programme staffs in different positions were selected to respond to the questionnaires based on their roles and or responsibilities in supporting the implementation of the livelihood programmes. The distribution of positions of respondents for the various livelihood programmes who were interviewed during the questionnaire administration are depicted in figure 4.1.

Figure 4.1: Distribution of Programme Staff by Position



*Source: Author's Field Data Collection, June 2013.*

There is no doubt that, the length of stay on a programme can influence their knowledge on the programme and inadvertently affect the quality of responses provided. The study identified that programme staff relatively had experience on the respective programmes they serve. It was identified that, as of the time of the study, all programme staff who responded to the questionnaire had stayed on with their respective programmes for at least two years as indicated in table 4.1. Male respondents were identified to be slightly more than the female respondents in all the selected programmes. There was no female staff on the SDIIP and hence no female respondent.

Table 4.1: Length of Stay on Programmes by Staff

Staff	Years of Stay on Programme
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	<b>Less than 1yr</b>	<b>1yr</b>	<b>2yrs</b>	<b>3yrs</b>	<b>4yrs</b>	<b>Above 4yrs</b>	<b>Total</b>
VPP	0	0	1	0	2	1	4
AILAP	0	0	0	0	2	2	4
SDIIP	0	0	0	0	0	4	4
<b>Total</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>4</b>	<b>3</b>	<b>12</b>

*Source: Author's Field Data Collection, June 2013.*

### *Programme Beneficiaries*

Participants for the FGDs were mainly beneficiaries of the three livelihood programmes. In all Seventy-two (72) beneficiaries participated in the study amongst which 57% turned to be females with the remaining 43% being males. It was also identified that, about 50% of beneficiaries who participated in the discussion sessions had been on the programmes for at least one year as can be inferred from table 4.2 and chart 4.2. It was revealed in interview sessions with the AILAP Coordinator that, although the programme is a year time-bound for each beneficiary, support in terms of extension services could continue after one year.

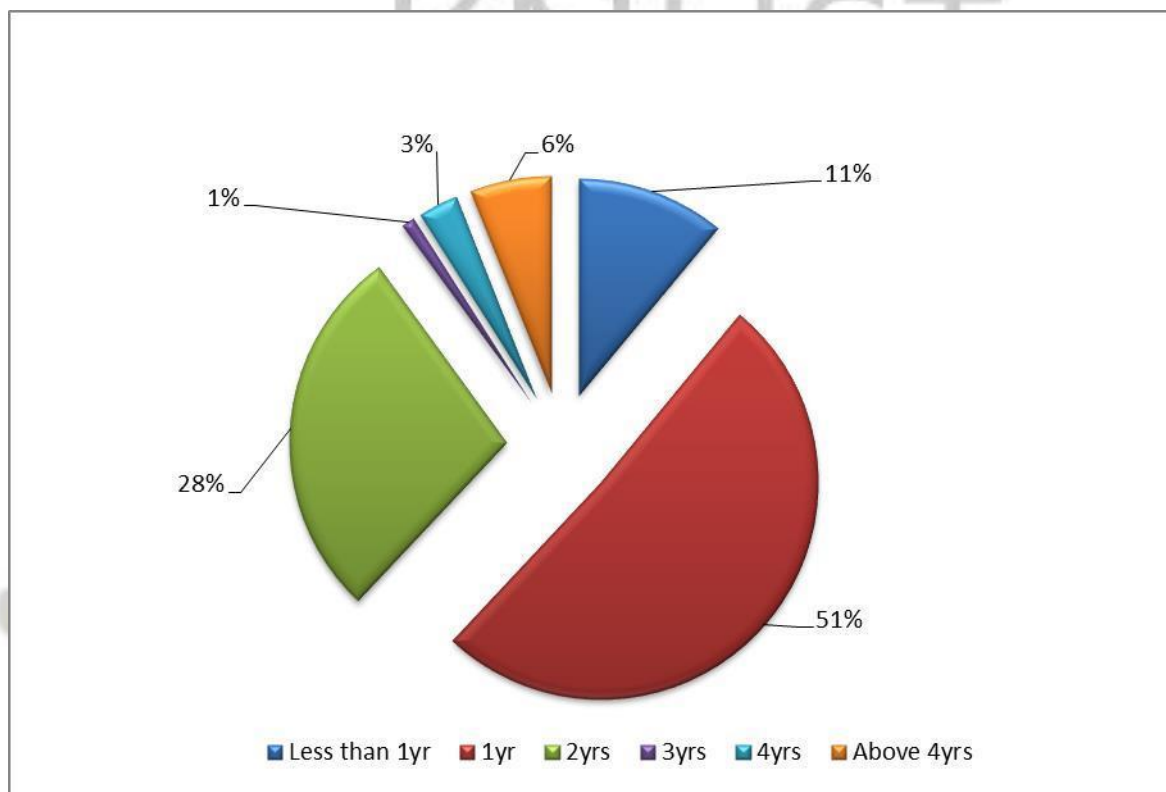
Table 4.2: Length of Stay on Programmes by Beneficiaries

<b>Beneficiary Group</b>	<b>Years of Stay on Programme</b>						<b>Total</b>
	<b>Less than 1yr</b>	<b>1yr</b>	<b>2yrs</b>	<b>3yrs</b>	<b>4yrs</b>	<b>Above 4yrs</b>	
VPP	5	12	1	0	0	0	18
AILAP	3	10	8	1	2	4	28
SDIIP	0	15	11	0	0	0	26

Total	8	37	20	1	2	4	72
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Source: Author's Field Data Collection, June 2013.

Chart 4.2: Length of beneficiary participation in programmes



Source: Author's Field Data Collection, June 2013.

### Partnering Institutional Stakeholders

To assess the level of involvement of relevant stakeholders, some key stakeholders (partnering institutions) were also interviewed. These included representatives from the District Agricultural Development Unit (DADU), the District Planning and Coordinating Unit (DPCU) and Social Welfare Department (SWD). An in-depth interview was also held with the Newmont Monitoring and Evaluation Technical Coordinator.

## 4.2 Integration of M&E Systems in the Management of Livelihood Programmes

This section of the study examined the extent to which the selected livelihood programmes have incorporated M&E activities in the programme implementation processes. As part of this measure of integration, the study assessed programme staff and stakeholders awareness of the existence of the M&E systems, availability of core M&E tools and processes as well as resources availability and challenges programme implementers face regarding the M&E systems.

### 4.3.1 Awareness of the M&E systems

In assessing the level of awareness of the M&E systems of the livelihood programmes, desk review was carried out to ascertain how M&E has been documented in the respective programme documents and further went on to examine programme implementers and stakeholders' knowledge on the M&E systems of the livelihood programmes.

From the desk review of respective programme documents as well as associated document on the livelihood programmes, it was revealed that Monitoring and Evaluation as a management function is inscribed in the respective programme documents that guides the implementation of the three selected livelihood programmes. It was again realized that, M&E is discussed under Sections 3.6 and 3.7 on page seven of the Vulnerable People's Programme document. M&E in the SDIIP programme document was identified to be discussed under section 12 page twenty whilst the AILAP programmes document discusses M&E on page eleven. Apart from the programme documents, none of the three programmes had any other extensive document that touches on the

M&E systems. It is worth noting that indicating M&E in programme documents does not automatically in itself imply integration but just set the ground for integration. The descriptions in the programme documents are not elaborate enough to provide details on the M&E systems and how they will be implemented.

Regarding programme implementers awareness of monitoring and evaluation systems of the livelihood programmes as indicated in the programme documents, data collected showed that all programme implementers who were selected as respondents provided an affirmative responds as to the existence of M&E systems on the programmes. This suggests that, programme implementers have some knowledge of the existence of an M&E systems on the livelihood programmes. This is a good indication as knowing it can foster integration. it was revealed in an interaction with the M&E Technical Coordinator for Newmont that, M&E as a mainstream department that provides technical support on M&E activities to the livelihood programmes was established a year or two after the livelihood programmes had taken off resulting in retro-fitting of M&E activities.

Focus group discussions with programmes beneficiaries also revealed some level of awareness of the existence of an M&E system on the livelihood programmes. They mentioned frequent visits by programme implementers from Newmont and other institutions to inspect their activities and ask questions as an indication of the existence of a system for carrying out M&E within the livelihood programmes. Other key stakeholders like the DADU representative, the Social Welfare Director and the District Planning Officer as well mentioned the continuous visitation of programme officers to beneficiaries and consistent sharing of programme information among others as some proxy means to confirm the existence of M&E in the management functions of the livelihood

programmes. Representatives from the DADU for instance indicated the involvement of their field technicians in the regular farmer visits to AILAP and SDIIP beneficiaries as an indication of the practice of M&E. The District Planning Officer on another hand mentioned courtesy calls paid to their offices by consultants as an indication of an M&E system on programmes.

#### 4.3.2 Core M&E Tools

As part of assessing the level of integration of M&E in the management functions of the livelihood programmes, the study find out core tools and processes that aid the M&E functions of the selected programmes. It was identified that, there exist a number of tools and processes that have been established or put in place to assist in undertaking M&E activities amongst the selected livelihood programmes. Programme managers indicated during interviews that, these tools and processes were developed through the technical support from the Newmont M&E department.

From the desk review which was corroborated with responses from programme implementers, it was identified that, the programmes – SDIIP, VPP and AILAP – were having some programme phase specific Logical Framework Matrix (LFMs) spelling out programme goals as well as other levels of objectives in terms of purpose (outcomes), output and activities and resources required for achieving the objectives. In addition, the LFMs spells out the key performance indicators required to be used to measure success. This was evident amongst all three programmes. All programme staff who responded to the study questionnaire indicated their awareness of existing LFMs for their programme.

Similarly, it was evident from the study that, the three programmes are having implementation schedules, data collection and reporting plans. The programmes also have performance Monitoring Plans (PMPs) indicating the data to be collected and the frequency as well and the methods for processing and reporting on the Key Performance indicators in the LFMs. Also based on the goals and objectives in the logical framework matrix, the programmes had developed annual workplans guiding their implementation. A number of data collection forms and reporting formats were also identified on the programmes. The reviews further revealed that, the programmes are using these formats as tools for regular field data collection and reporting activities. The only challenge mentioned by AILAP programme staff is the frequent changes in their weekly reporting format makes reporting somehow inaccurate and inconsistent among programmes staff. On the whole, it was identified that, most of the tools are not updated to meet the programme implementation phases.

Another critical tool that the study identified – through desk review, observation and interviews – to be aiding the M&E systems of the livelihood programmes was the existence of a database for inputting and retrieval of data. The AILAP and VPP were found to be using a database called the Management Information Systems –Ahafo (MISA). This database was identified to be sophisticated and hooked on an intranet to aid synchronization and easy access by programme implementers. It was observed that the database contains replicas of the field data collection forms which aid easy inputting of data from the field. In an interview with AILAP and VPP Programme Coordinators, it was revealed that the MISA also support in generating timely and accurate reports on the programmes. The SDIIP programme on the other hand was observed to be using Microsoft Excel platforms as a database for capturing field data. Reports are not generated automatically as this platforms are not as sophisticated as was observed with the MISA. It does not support internet

usage for synchronization of data from different platforms or sources and for that matter programme staff have to manually adjust data stored in order to generate reports.

For internal reviews and capacity building, the responses from programme staff revealed that, the three programmes do not have well laid down plans for programme reviews and capacity building for programmes staff. However, it was identified from interviews with Programmes Coordinators that, the programmes undertake review sessions especially at mid-term and programme phase end but these are not documented as a practice to follow. It was indicated from the interviews with Programme Coordinators that, the Newmont M&E Department with its mandate of providing technical support to the livelihood programmes, intermittently organizes refresher training for the programmes staff but this as well is not well documented as a laid down practice for the programmes. Programme staff as well as Programme Coordinators and the M&E Technical Coordinator emphasized that these refresher training sessions are organized sporadically as there is no schedule to guide it. None of the programme staff who responded questionnaire did indicate ever going for an external training on M&E modules.

Also, the three Programme Coordinators indicated that, they are likely to drop off a review session should it coincide with any other key activity. In effect, the programmes implementers indicated that, review sessions are at times glossed over to continue with implementation. This implies inhouse reviews and training may be sufficient or there exist a gap as refresher session can develop programme staff towards effective monitoring and evaluations as the discipline keeps evolving.

#### 4.3.3 Processes

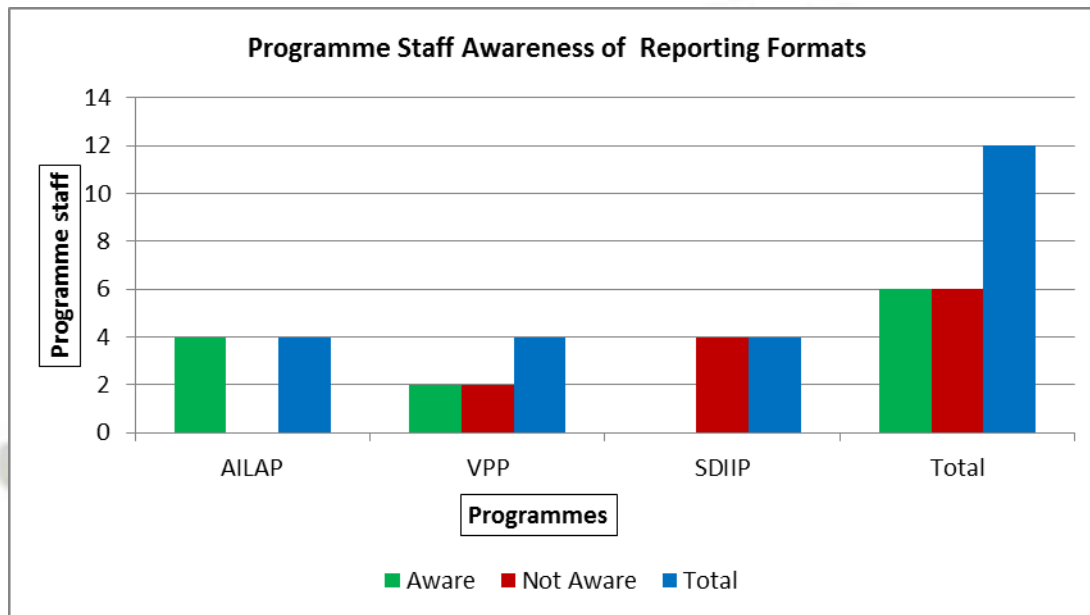
The study further probed into key processes that the livelihood programmes go through in undertaking M&E activities. It was identified from the interviews and responses from programmes staff that, the processes for carrying out M&E activities by the three selected programmes were comparable, straddling from community sensitization, beneficiary identification and training, input distribution, field data collection, data capture, reporting to progress reviews. Findings from the study revealed that, the responsibility of carrying out these

Monitoring activities for the three programmes was identified to be that of programme staff while Evaluation activities are initiated jointly by programme managers and the Newmont M&E Department but carried out by independent consultants. Also it was made known in an interview with the M&E Technical Coordinator that, the M&E department basically provides technical support in terms of preparation of tools and processes as well as quality control and assurance for the M&E functions of the programmes. Furthermore the findings revealed that, M&E activities of the programmes rests on the use of Key Performance Indicators (KPIs) to track achievements towards goals and objectives set out in the programme documents and as specified in the Logical Framework Matrix. This was identified to be the order for SDIIP, VPP and AILAP.

The study further identified that, the three programmes use mixed methods for field data collection varying from interviews with programme beneficiaries, observation and questionnaire administration. This was confirmed when all programme staff responded in affirmative in using mixed methods for data collection. It was further identified that, data collected from field are captured in respective modules in a database that served as a repository for data input and retrieval. From the desk review and the interviews with programme managers, it was again identified that, the SDIIP, AILAP and the VPP have programme specific weekly and monthly reporting formats used for reporting on their monitoring activities. The responses from programme staff however

indicated that, some programme staff of SDIIP and VPP are not aware of these standards reporting formats and for that matter are not using them. This was revealed in the responses programme staff provided in relation to their usage of standard reporting formats.

Figure 4.3: Programme Staff awareness of reporting formats



Source: *Author's Field Data Collection, June 2013*

Responses from programme staff indicated programme progress reports generated among the three programmes serve the information needs of Programme Managers, programme staff, as well as other stakeholders. This was confirmed by Programme Coordinators and partnering institutions like DADU and SWD during interview sessions. The SDIIP further identified their Programme Sponsors – which in this case happens to be Newmont – as key stakeholder on their reporting lines. The situation per the VPP and AILAP seems different since the programme managers and sponsors seem to be in the same category.

From the desk reviews and interviews, it was identified that the AILAP, VPP and SDIIP all has undergone one mid-term evaluation in 2009 since inception in 2006. This Evaluation was carried out by independent consultants based on a terms of reference developed by the Newmont M&E Department in consultation with the Programme managers/Coordinators. Thus this confirms the earlier assertion that evaluations are done by a third party. The objectives for this evaluation was basically to identify how the programmes were achieving their set goal and objectives in terms of effectiveness and efficiency as well as the relevance, impacts and sustainability of the livelihood programmes. The report made some recommendations for the various programmes to aid in their implementation processes.

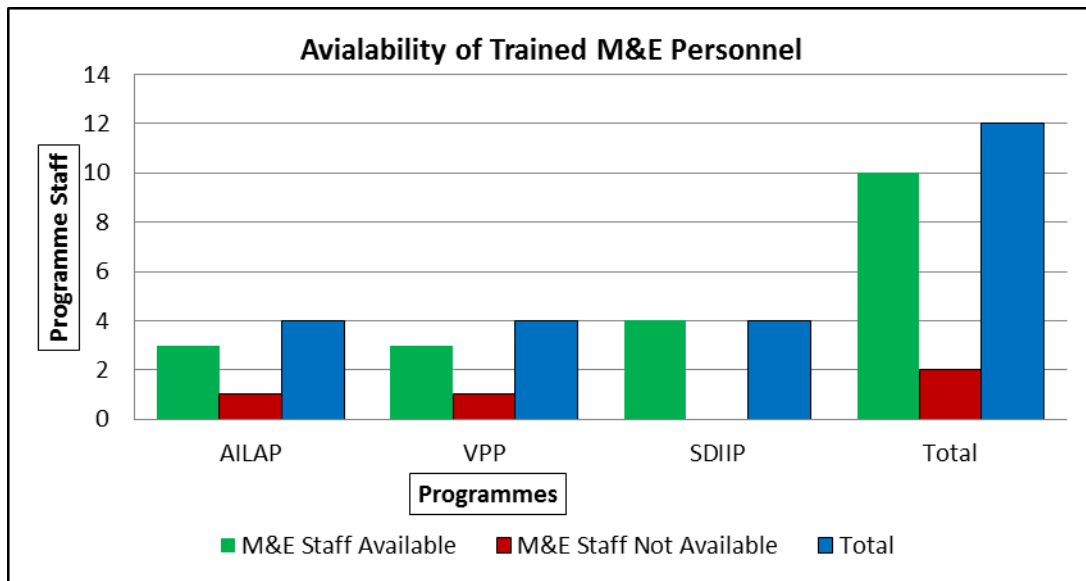
#### 4.3.4 Resource Availability

The study assessed the resource capacity for the three livelihood programmes that aid the M&E functions. This was viewed from three dimensions –human, financial and material resources– that are deemed critical resources for the effective implementation of an M&E system.

##### *Human*

Findings from the study revealed availability of personnel responsible for undertaking the M&E functions of the livelihood programmes. Figure 4.4 indicates the responses of programme staff as to the availability of personnel for M&E activities and it can be deduced that not all AILAP and VPP staff are aware of the existence of personnel for M&E activities on the programmes. It was further revealed from interviews with programme coordinators and from review of programme documents that, the three programmes operate under different structures (organogram) and that only SDIIP had officers specifically coordinating M&E activities on the programme as depicted in figure 4.5.

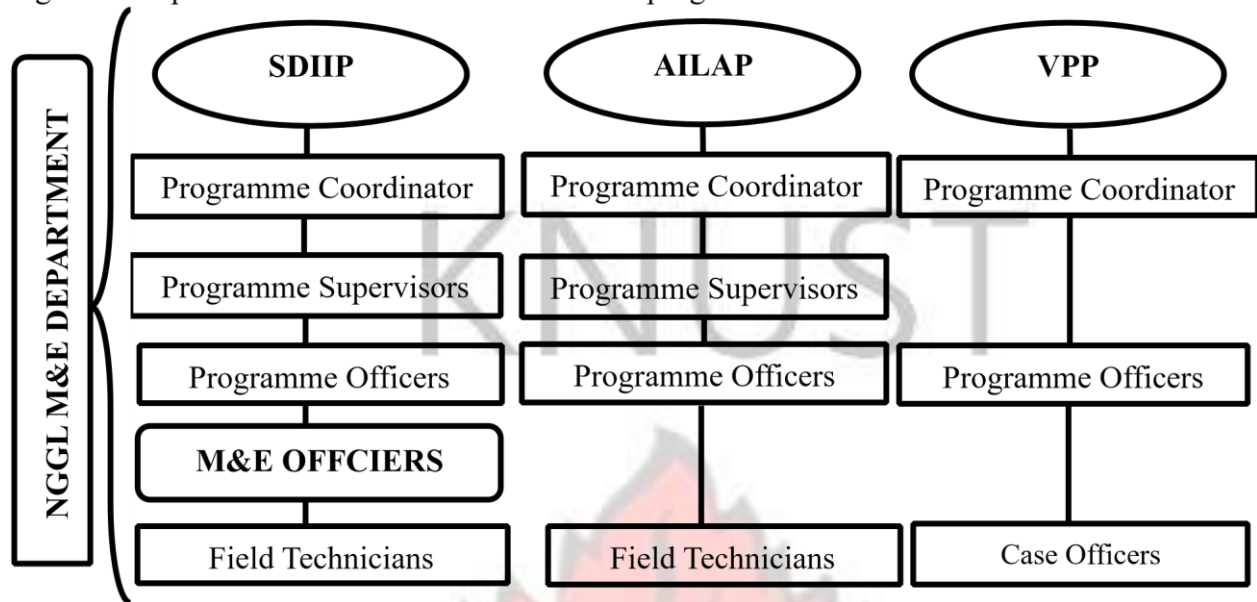
Figure 4.4: Staff Awareness of Availability of personnel specifically responsible for undertaking M&E activities



Source: *Author's Field Data Collection, June 2013*

However with the exception of SDIIP, it was evident that both AILAP and VPP seem to be operating within a framework where along the organizational structure there seem to be no specific M&E officers precisely responsible for M&E activities. This accounts for some respondents indicating that there are no personnel for M&E activities on the programme. The responsibility of day-to-day programme M&E activities for the AILAP as was made known from interview with the Programmes Coordinator lies specifically on Programme Officers and the Field Technicians. In the case of the VPP M&E activities is specifically conducted by the Project staff and Case Officers. The study however revealed that the SDIIP has M&E officers that coordinate the M&E activities of the programme as depicted in figure 4.5. This according to the Newmont M&E Technical Coordinator gives the SDIIP a reasonable advantage over the other livelihood programmes in terms of data organization, reporting on indicators, development and application of the M&E tools.

Figure 4.5 Operational structure of the livelihood programmes



Source: *Author's construct*

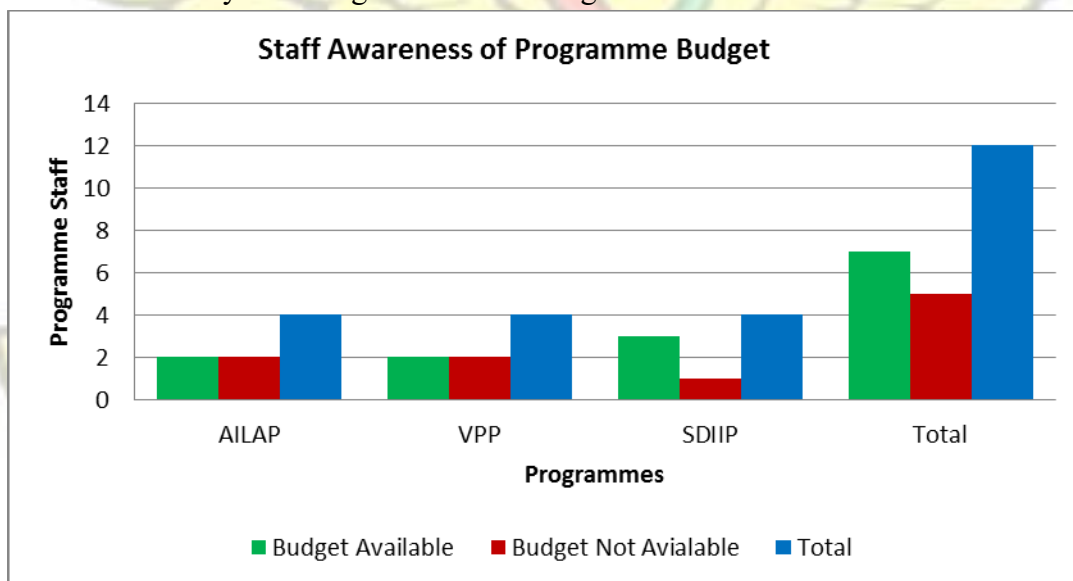
It was also evident from the study that Newmont has established a Monitoring and Evaluations Department outside these livelihood programmes mandated to provide technical support to Newmont Social Intervention programmes of which these livelihood programmes falls within as indicated in figure 4.5 above. In an interview with the M&E Technical Coordinator it was mentioned that, the core function of the Newmont M&E department is not to conduct M&E on behalf of the livelihood programmes but to support them technically in the development and application of M&E tools and coordinate External Evaluations. However, despite this clear mandate, Programme Staff of VPP and AILAP assume responsibilities for M&E activities are supposed to be carried out by staff of the NGGL M&E department thus creating a gap for ownership. This was expressed as a challenge during the interview session with the M&E Technical Coordinator.

## Budget

From the interviews with Programme Coordinators, it was revealed that there exists a specific budget to run the livelihood programmes. It was further made known that the broader budget of SDIIP is subdivided for the various project components of which a specific section is for the running of the M&E functions –thus the SDIIP had an elaborate budget for M&E activities. The situation was found to be a bit different in the case of the AILAP and VPP as the M&E function of the programmes is being run from the broader programmes budget.

Figure 4.6 presents programme staff knowledge of the existence of specific budget for the M&E activities of the programmes. AILAP and VPP staff affirmed the assertion by programmes coordinators that there is no separate budget for M&E activities but rather it is embedded in the other components.

Figure 4.6: Availability of a budget for undertaking M&E



Source: Author's Field Data Collection, June 2013

### *Material and logistics*

Besides the human and financial resources required for the M&E system is the materials and logistics for undertaking the day to day field and office M&E activities. The study identified that the selected programmes (SDIIP, AILAP and VPP) have some materials and logistics at their disposal that aids the M&E function.

Notable among these are the existence of computers with internet access for easy communication, data storage and retrieval processes. It mentioned in interview sessions with programmes coordinators that all AILAP and VPP Programme Staff are assigned each to a computer (either a desktop or laptop) which facilitate their M&E function. The SDIIP Programme Coordinator on the other hand indicated though they have some computers they are not assigned enough to be assigned to each staff. Aside the computers are printers and scanners available with plain papers for use by programme staff.

Another logistical provision that the study identified is the availability of vehicles for M&E activities. In all fourteen vehicles were mentioned by Programme Coordinators to be present on the three programmes – AILAP have ten vehicles whereas SDIIP and VPP have two vehicles each. Staff of the selected livelihood programmes however, indicated per the monitoring schedules, the vehicles available is not enough and wish for additional ones.

AILAP staff for instance indicated out of the ten vehicles at their disposal, six are temporal-hired trucks meant for input supply, and out of the remaining four, two are for administrative tasks leaving two for field visits. According to programme staff, this poses some difficulty in organizing beneficiaries meetings as well as during field visits. The VPP and SDIIP staff indicated more

vehicles could help reduce the length of time it takes to complete field assessments and increase the rounds of visits to beneficiaries.

Other materials and logistics that were made known through the interviews and responses to questionnaires were items like digital cameras, note pads, recorders projectors amongst others. In this era of evidence based monitoring, items like digital cameras and recorders are considered critical for monitoring and evaluation activities. Programmes staff –from AILAP, SDIIP and VPP– admitted that, the cameras are helping M&E functions more especially during field observational visits. Beneficiaries in Focus Group Discussions attested to the fact that programme officers use digital cameras in taking photo of their activities during their visits.

#### **4.3 Influence of M&E System on Livelihood Programmes and Key Stakeholders**

A robust M&E system is expected to produce the necessary information that aid management decision making. The study therefore researched into the utilization of information generated from the M&E systems of the livelihood programmes and the impacts on the programmes and its stakeholders.

##### **4.4.1 Utilization of M&E information and its Influence on programme**

The study probed to find out whether information generated through the M&E systems of the selected programmes are being used and how the information is used. Effort was also made to find out whether information generated is influencing the programmes in a beneficial or adverse manner. The study identified from review of programme reports and responses from interviews

with programme staff that, the M&E systems of the selected livelihood programmes have had tremendous influence on the programmes as well as the beneficiaries.

AILAP, VPP as well as SDIIP programme staff attested that, the M&E system is helping in carrying out better programme planning. This was corroborated in the interviews with Programme Coordinators of the three programmes. Another area of impact that the M&E systems has had on the livelihood programmes that was mentioned by both programme staff and coordinators was the easiness in reporting on achievements and identification of shortfalls due to the existence of M&E tools like PITT (Success Criteria), data collection forms, the database amongst others.

Other area of impact that was indicated by Programme Coordinators and staff included the fact that M&E has aided the programmes to be accountable and transparent through their reporting. Again, it was mentioned in interviews with Programme Coordinators that M&E activities has aided identification of strengths and weaknesses on the programmes as they implement. This was confirmed by the responses from Programme Staff when they indicated, to them, M&E stands for accountability, transparency, identification of challenges, drawing lessons as well as making adjustments in programmes.

The study further inquired for adjustments/changes that have come about as a result of M&E activities aiding continuous improvements. Key disclosure by the AILAP Programme Coordinator and staff has to do with the fact that the institutionalization of M&E on the programme accounted for implementation of “beneficiaries input supply threshold” where by a quantity equivalent to two acre land size was set as the maximum to be supplied to eligible farmers. This according to AILAP Programme Coordinator has reduced the number of complaints and grievance that beneficiary

farmers level against the programme of regarding inadequate input supply. This was corroborated by programmes beneficiaries in a focus group discussions as they indicated they are supplied with farm inputs that match up to a land size of two acres. According to VPP Programme Coordinator and Staff, key adjustment resulting from M&E activities is the change in products given out as food basket package to vulnerable households. The VPP Programmes Coordinator indicated having moved from previous supply of rice, vegetable oil, and canned fish among others to the current supply of maize, beans, gari, dried fish, palm oil among others to the beneficiaries. This, programme Coordinator and staff indicated has helped meet the consumption needs of the local people. This was well mentioned in the focus group discussion with VPP beneficiaries at Kenyasi as indicated below.

*“Those who were declared vulnerable received foreign products like rice and canned beef, but we are provided with maize and fried fish”* FGD – Female

Beneficiaries at Kenyasi

On the part of the SDIIP, the study identified that as a result of the continuous monitoring and evaluation activities backyard farming, snail and grass cutter rearing has been dropped as part of the programme components due to limited interest expressed by initial programme beneficiaries. SDIIP programme beneficiaries in a focus group discussion confirmed this as in the excerpt below.

*“Here if you rear snail and grass cutter people will not buy as they usually get some from the farm. Also everybody is already into farming so it is not interested in going into backyard farming”* – FGD– Female Beneficiaries at Ntotoso

#### 4.4.2 Influence of M&E systems on Beneficiaries and other stakeholders

The study probed into the impacts that stakeholders derive from the utilization of the M&E systems of the selected programmes. Key among what programmes beneficiaries mentioned was continuous or frequent visitation and proper records keeping. AILAP programme beneficiaries in a focus group discussion alluded to the fact that, they now receive continuous visitation and recording of farm progress by programme staff which has further enriched their interest in farming and enhanced their agricultural practices. For instance a farmer indicated that *“Prior to being part of the programme we were not receiving the extension services we are currently enjoying”* – FGD– AILAP Male Beneficiary at Kenyasi.

On the part of the VPP, beneficiaries indicated amongst others that, *“the continuous visitation by programme staff and other external personnel has boosted our resilience from vulnerability”* – FGD – VPP Beneficiaries at Kenyasi. SDIIP beneficiaries on the other hand indicated *“our ability to engage in animal husbandry is a plus from the continuous visitation by SDIIP staff. We admit the programme has introduced us to new agricultural practices especially in animal husbandry and mushroom production. Our involvement in a programme like the SDIIP has enhanced their knowledge on farming as a business”* FGD– SDIIP Male Beneficiaries at Ntotroso.

Institutions like District Agricultural Development Unit (DADU) on one hand commented on the benefits of the M&E activities of AILAP and SDIIP as complementing their activities like farm assessments, yield assessment and farmer welfare in the area of agriculture. According to the DADU officer contacted *“the joint monitoring contributes to increase in yields in the district and sharing of knowledge. M&E activities of the livelihood programmes of which we are involved has revitalized our activities in the district which was previously not the case”* – KII – DADU Official.

The Social Welfare Department (SWD) on another had commended the VPP monitoring activities indicating the consistent record keeping on people experiencing vulnerability as a great step which is helping the unit to keep track of vulnerability level within the district which is helping in the SWD activities.

#### **4.4 Stakeholders Involvement in the Implementation of the M&E Systems**

The level of participation of relevant stakeholders in the M&E systems is a critical component of an effective M&E system. The study assessed the level of involvement of key stakeholders in running of the livelihood programmes. The study took steps to identify the various stakeholders on each of the selected livelihood programmes and their participation in the activities of the programmes as well as the impacts the stakeholder involvement has exerted on the programmes and the stakeholders as well.

##### **4.5.1 Stakeholder Identification**

Stakeholder participation is a key factor in the implementation of monitoring and evaluation systems of livelihood programmes. The study explored the stakeholders involved in the monitoring and evaluation of the selected livelihood programmes.

Findings from the study indicated there are number of stakeholder groups and/or institutions that are involved in the implementation of the programmes. Table 4.5 presents the key stakeholders that the selected livelihood programmes indicated as participating in the implementation of the M&E systems.

Table 4.5: Stakeholder identification

Programme	Stakeholder Group/Institution								
	District Assembly	DAD U	Traditional Authorities	Programme Beneficiaries	Business Advisory Center	Social Welfare Dept	National Health Insurance	Community Members	Local NGO
AILAP									
VPP									
SDIIP									

Source: *Author's Field Data Collection, June 2013*

It was revealed from interviews with Programme Coordinators that, the primary focus of the selected livelihood programmes informs the category of stakeholder body participating in the implementation of the programmes as can be inferred from table 4.5. For instance, the SDIIP and the AILAP are agricultural based programmes, hence DADU is considered as a key stakeholder on the programmes. Again as the SDIIP has a business enterprise component, and for that matter the Business Advisory Centers (BAC) featured as a key stakeholder. In an interview with DADU Official, it was mentioned that the outfit is a key stakeholder body to both the AILAP and SDIIP as they provide technical support to the programmes through the Extension Officers.

According to the VPP Programme Coordinator as the programme focus is on managing transitional hardships –welfare and health– of mine impacted persons, stakeholders like District Social Welfare Department, Local NGOs, and the District Health Insurance are amongst others, the key stakeholders the programmes operate with. This was confirmed in an interview with the Social Welfare Director as it was indicated the outfit plays key role in the VPP.

From the responses of Programmes Coordinators and Staff, the District Assembly, Traditional Authorities, Community members/programme beneficiaries appeared consistent (as can be inferred from table 4.5) stakeholder groups for the three livelihood programmes. Among the principal reason provided by Programme Coordinators and Staff for having these stakeholder groups/ institutions includes that fact that the community members and or beneficiary are the direct people they deal with. Also the District Assembly is seen as the highest local administrative body in terms of governance and for that matter development programmes running within the district need their buy-in likewise the Traditional Authorities who are the custodians of the land and highest in terms of culture and tradition.

#### 4.5.2 Stakeholder Participation

Findings from the responses provided by Programme Coordinators and Staff, indicates that though a number of groups or institutions participate in the execution of the livelihood programmes as stakeholders, their level of involvement depends on their interest and or contribution to the programmes. Figure 4.7 presents the level of involvement of the various stakeholders among the three livelihood programmes.

Figure 4.7: Key stakeholders' involvement among the livelihood programmes

	Design	Planning	Implementation	Monitoring	Evaluation
AILAP	DA DADU TA CM/B OICI	DADU TA CM/B OICI	DA DADU TA CM/B OICI	DADU CM/B OICI	DA DADU TA CM/B OICI
VPP	DA TA CM/B SWD NGO	DA TA CM/B SWD NGO	DA TA CM/B SWD NHIS NGO	CM/B SWD NGO	DA TA CM/B SWD NHIS NGO
SDIIP	DADU TA CM/B	DA DADU TA CM/B BAC	DA DADU TA CM/B BAC	DADU CM/B	DA DADU TA CM/B BAC

DA= District Assembly, DADU=District Agricultural Development Unit, CM/B= Community Members/Beneficiaries TA= Traditional

Authorities, SW= Social Welfare Department, NHIS= National Health Insurance Scheme, BAC= Business Advisory Center

Source: *Author's Field Data Collection, June 2013*

From figure 4.7 it is evident that not all stakeholders are involved in the programme from start to end. It was revealed that, the key stakeholders involved in monitoring activities of the programmes tend to be smaller and limited to beneficiaries and supporting implementing groups. An explanation was offered as due to the fact that they are either the deliverers of the outputs or users and for that matter are more engaged in the monitoring activities.

Roles of these stakeholders and or actors were identified to be different as findings from the study indicate. According to Programme Coordinators, Stakeholders like Traditional Authorities and the District Assembly are more of consultative and informative stakeholders who are consulted for information on programme initiation, progress and closure. Also they are consulted in evaluation to seek for their opinions on the livelihood programmes. In an interview with the District Planning

Officer, it was made know that form time to time Consultants call on officials at the Assembly behalf of Newmont to seek for their impressions and opinion on the programmes.

Institutions like the District Health Insurance, Social Welfare Department and a local NGO (Guard of the Earth and the Vulnerable) were identified as implementing or supporting partners for the VPP. The Social Welfare Department for instance was identified to be supporting in assessment of vulnerability status of mine impacted persons, which was affirmed in an interview with the District Director. Likewise DADU and BAC were as well mentioned as implementing partners on SDIIP as they support in providing extension delivery and technical advice in the agricultural and small and medium scale enterprise components of the programme. In the same vain, DADU and OICI were identified for the AILAP. The DADU Official in an interview indicated the outfit makes available Extension officers for both the SDIIP and AILAP to support in their training, input distribution and monitoring of beneficiaries. These implementing or supporting partners according to the Programme Coordinators were identified based on the focus of operations.

Another key finding that Programme Coordinators during interviews indicated has to do with the fact that all identified Stakeholders are consulted during Evaluation activities by third party consultants or assessors as key source of information. This was as well corroborated in the respective interviews with officials from DADU, SWD and the DPCU as well as during FGDs with programme beneficiaries.

Programme beneficiaries the other hand were identified by Programme Coordinators and staff to be key stakeholder group on the three programmes who are involved in almost all the programmes activities spanning form design, initiation, implementation, monitoring and evaluation. In a focus

group discussion with the various beneficiary groups, it was admitted that they are involved in these activities.

*“When Newmont take our farm and pay us they come to our community and make announcements or paste notices on the boards indicating a date we should come for training..... After the training they give us plantain suckers and cocoa seedlings to plant..... They give us an officer who comes around and give advice and directions.... Sometimes other people – even white people – come to ask us questions”.* FGD– AILAP Male Beneficiary at Kenyasi

The case was not different with beneficiaries of the SDIIP and VPP during the sessions with them. For instance, an SDIIP beneficiary had this to say regarding their involvement.

*“Yes, they involve us, as they give us chance to choose our packages. We even have the chance to call on them anytime we face a challenge. At least every week we seek them.... They sometimes take us to their meetings with the whites”.* FGD– SDIIP Mix Beneficiaries at Ntotroso

#### 4.5.3 Impact of stakeholder involvement

The study delved into the possible impacts that the involvement of key stakeholders exerted on the programmes M&E systems as well as the benefits that stakeholders derived from their participation in the programmes M&E activities.

##### *Agricultural Improvement and Land Access Programme*

The Programme Coordinator and Staff indicated among others that the involvement of stakeholders like DADU in the running of the programme has expedited information sharing and additional

insights. It was further indicated that the involvement of stakeholders like the community/beneficiaries has brought about smooth implementation of the programme particularly. Another key impact that was expressed by AILAP staff on the involvement of the stakeholders has to do with acquisition of regular feedback on the programme implementation which they indicated have helped in shaping the programme implementation. Also the AILAP Programme Coordinator indicated the involvement of the identified stakeholders especially DADU and beneficiaries is aiding understanding and ownership which is a basis for sustainability. Another key impact that the participation of stakeholders in the programme has brought as indicated by the Programme Coordinator was the fact that they have experienced minimal or reduction in complaints and grievance relating to the programme as beneficiaries and institutions alike are barest with issues pertaining on the programme.

In a focus group discussion with AILAP beneficiaries, it was also revealed that, with their involvement in the programme, they have become more appreciative of farming as they are engaged in global agricultural practices (GAP) like row planting, pruning amongst others which were not practice prior to their participation in the programme. Also it was mentioned that they are experiencing regular on-the-farm extension service which hither to was difficult to come by. They as well mentioned improvement in yield in terms of quantity and quality –especially in plantain and cocoa– compared to their previous farming practices. There were no variations in responses in terms of the groupings or sex.

The DADU Official contacted indicated the outfit’s involvement in the programme aside information sharing has facilitated their activities within the district especially in the area of provision of extension services to farmers. It was mentioned the AILAP programme has uplifted the image of DADU in the district as farmers now show appreciation for their activities. Again it

was indicated, the programme has to a considerable extent reduced some constraints on their budget as most inputs for monitoring – extension services– are provided by the programme.

### *Vulnerable People's Programme*

On the part of the Vulnerable People's Programme, Programme Coordinator and Staff indicated the involvement of stakeholders has resulted in better understanding of the programme leading to minimal complaints and grievances. It was as well indicated that the Social Welfare Department has assisted them in providing appropriate counseling to beneficiaries and this has enhanced their understanding of who they classified as vulnerable. One other key benefit that the VPP staff indicated having gained as a result of stakeholder involvement is the fact that, stakeholders like the Social Welfare Department share in the programme's risks and benefits leading to ownership. Timely delivery of programme outputs was also indicated by VPP staff as a resultant effect of the involvement of stakeholders.

In focus group discussions with VPP beneficiaries, they affirmed the assertion by programme staff, indicating they have gained more insight into vulnerability assessment as they are now privy to what leads to be vulnerability. Also they mentioned, their involvement relinquish their suspicions about the selection process. These responses were similar in nature as per the various groups for the study.

The Social Welfare Director on his part indicated the outfit involvement in the VPP, has also given them as another aspect of carrying out vulnerability assessment as what they do at the government

level is different from what pertains with on the VPP. Also it was mentioned that, the programme has reduced the pressure on the department as the VPP caters for a portion of vulnerable households within the district which may have fallen on Social Welfare Department.

### *Skills Development and Income Improvement Programme*

Smooth implementation of programmes was reiterated by SDIIP Coordinator and staff as an impact on the programme due to their stakeholder involvement. The involvement of stakeholder was also indicated by SDIIP staff to have brought continuous improvements in programme delivery as suggestions from others stakeholders are incorporated in programme implementation. Another key impact that was specified by SDIIP staff is the fact that the involvement of these key stakeholders ensures accountability on the part of the programme staff and stakeholders as they share information on progress of implementation.

SDIIP Beneficiaries on their part indicated their participation in the programme has introduce them to new forms of agricultural and entrepreneurial practices especially animal husbandry – exotic sheep rearing and piggery farm– mushroom production, bakery and soap production which hither to was not common within the vicinity. The female group for instance indicated they fell their voices are been heard especially through the Consultants that comes around to interview them.

## 4.5 Discussions of Results

This section concludes the chapter and provides a summary of discussions around the key findings of the study. It compares the results of the study to the literature discussed under chapter two to ensure a level of consistency or otherwise. The following therefore discusses the results on the objectives in relation to the literature.

### 4.6.1 Integration of M&E Systems in the Management of Livelihood Programmes

The study revealed that M&E systems have been incorporated to a considerable extent into the management functions of the three livelihood programmes. This is based on the fact that both programmes staff and key stakeholders exhibited a high awareness level of the existence of M&E systems on the three livelihood programmes as in the findings. The awareness of the M&E systems by programme staff and stakeholders commensurate with what Khan(2003) in describing the four scenarios of an M&E systems indicated knowledge of the concept of M&E as a common factor in all the effective M&E scenarios that may prevail in an organization. This also indicates that, the three livelihood programs are putting in the much needed effort to integrate the M&E system into the programmes.

Another key finding from the study was the presence of M&E tools among the three livelihood programmes. These included the presence of Logical Framework Matrixes spelling the programmes goals and objectives, Performance Monitoring Plans indicating data to be collected and its frequency as well as reporting intervals. Data collection formats and associated reporting templates were also identified. Furthermore, the study identified databases for the storage and retrieval of data on the three selected livelihood programmes. The presence of these tools shows

consistency with what the UNWFP (2002) and ACF (October, 2011) outlined as among the core tools of an M&E system. It was further explained by these institutions that the presence of these M&E tools help programmes to enjoy prospects like proper planning, accountability and storage of programme data and documents. One challenge that was identified was the fact that the tools are not updated to meet the programme implementation phases.

The revelation from the study that the three programmes do not have a laid down review and capacity building plan but rather carry these activities on off-the-cuff basis is a key gap in the M&E systems and this is in divergent with what the various literature consulted indicated. Gorgens and Kusek (2009) identified capacity building as one critical functional component of the M&E system and its absence disrupts the functionality of the system. The UNWFP (2002) on the other hand cited feedback and review plan as a critical tool for a functional M&E systems. It in a way limits the integration of the M&E system in the livelihood programmes. Taking a cue from the lessons learnt from the Malawi HIV/AIDS programme M&E system, it was made clear that a comprehensive curriculum need to be drawn to guide capacity building in M&E for programmes.

Another significant aspect of an effective M&E system that writers on the concept emphasizes most is the need for adequate resources – financial (budgetary), human and material/logistical– for an operationalization of the M&E system. Material and logistical resource was identified not to be a challenge among the three livelihood programmes. There exist computers, printers, vehicles, among others to support the M&E system. Among the core tools that the UNWFP (2002) and ACF (October, 2011) identified for an M&E system is the need for a budget for programmes M&E activities. This was reiterated by Khan (2003) that in the formal and informal M&E system set up, financial support is made available. The study however identified that the three livelihood

programmes budgets for M&E activities, however the SDIIP had an elaborate budget for M&E activities. The VPP and AILAP likewise draw financial resource for their main budget for M&E activities. This is problematic in that a key M&E activity cost like field monitoring can be compromised especially when there are budgetary constraints for the programme. This limits the integration level on the programme and leaves room for such an M&E system to be questioned and as the World Bank (2006, 1-2 as in Hammed, October 2010) puts it, the absence of a budget for M&E activities is a critical factor that sabotages the functionality of an M&E system. A lesson from the Uganda Water and Sanitation programme indicates the need for adequate planning and allocation of appropriate resources and time for the conduct of programme activities. This is not different from allocating such resources to programmes M&E system.

With regards to human resource to man M&E activities, it has been indicated that there should be competent staff with M&E background on the programme and or an M&E Unit that coordinates programme M&E activities as human capacity building is the second on the list of Gorgens and Kusek (2009) in their 12 components of an M&E systems, Khan (2003) makes it specific that, in a formal M&E system set-up, there exist a specific section and or person(s) assigned to carry out the M&E mandate. The Guijt and Woodhill (2002) also indicate that for an effective M&E system, there is the need for skilled people who can fulfill the M&E functions. The study identified the SDIIP to be having personnel in charge for the coordination of programme's M&E mandate besides the field offices and the technical support from Newmont M&E Department. The study however identified that, this was not the case with the AILAP and the VPP as besides the field officers there were no specific M&E officers responsible for coordinating M&E activities of the programmes. They however rest on or consider the Staff of the Newmont M&E department. The M&E Technical Coordinator for Newmont punched this as a challenge that limits the integration

of M&E activities into programmes the livelihood programmes since programme staff refuse to take responsibility or shift that to the Newmont M&E department which in any case should not be.

#### 4.6.2 Influence of M&E System on Livelihood Programmes and Key Stakeholders

It was identified from the study that the implementation of an M&E systems on the three livelihood programmes has had some impacts on the programmes, implementers and key stakeholders. These among others included the mentioning of quality planning, easy reporting, accountability, transparency, identification of strengths and weakness, stakeholder sense of ownership, drawing of lessons and making decisions out of M&E information.

The study further revealed that through the fervent use of M&E information in drawing lessons and taking decisions the three programmes has been able to undergo successful reforms in one way or the other. These depict a strong consistency with what UNDP (2002), Shapiro (2006) as well as the World Bank (2004) and the BCPR (2008) identify as the benefits to have effective M&E systems on any project endeavour.

#### 4.6.3 Level of Stakeholder Participation in the Implementation of the M&E Systems

According to Freeman (2003), Stakeholder participation is also another component that is considered imperative in setting out the M&E system for any project intervention. The UNFPA (2004) explains that, stakeholder participation improves programme quality and helps address local development needs. It increases the sense of national and local ownership of programme activities and ultimately promotes the likelihood that the programme activities and their impact would be sustainable

(UNFPA, 2004). The case study on the Malawi HIV/AIDS programme made Stakeholder identification a key prerequisite in the programme design which aided the M&E system.

The study therefore identified a number of stakeholder groups/bodies and institutions that the three livelihood programmes involve in the implementation of the programmes and the finding was impressive as critical stakeholders needed to be involved at each particular phase of implementation were mentioned. Particularly was the elaborate stakeholders that are mentioned in the initiation and evaluation (closure) stages. Relevant subject matter collaborators are also engaged in the programmes as stakeholders – as DADU was mentioned in the case of AILAP, SDIIP had BAC/ DADU and SWD for VPP.

It was further revealed from the study that, these identified stakeholders do participate in the programmes at different levels of the programmes life cycle. These revelations are therefore in agreement with what Freeman, (2003), UNFPA, (2004) and Gary, (2006) indicates that there is the need for project managers to involve relevant stakeholder during the stage of setting out an M&E system for a programme. The involvement of stakeholders on the livelihood programmes will bring broader ideas for successful implementation as in this case was mentioned as a great impact that the programmes have observed. This is what has been observed by Gary (2006) as a means of avoiding the higher risk of project failure.

# KNUST

## **CHAPTER FIVE:**

### **SUMMARY OF KEY FINDINGS, CONCLUSION AND RECOMMENDATIONS**

#### **5.1 Introduction**

This Chapter is the concluding part of the study and it therefore summarizes the key findings of the research and indicates how the objectives of the research were achieved. It makes conclusions based on the findings and also proposes some strategies or recommendations for improvements for effective programme M&E systems.

#### **5.2 Summary of Key Findings**

The key findings from the study are presented based on the objectives of the study. As a result, this section identifies the pointers for integration of M&E systems in the livelihood programmes, influence of M&E on the management functions of the livelihood programmes and Stakeholder participation in the implementation of the M&E systems.

### 5.2.1 Integration of M&E Systems in the Livelihood Programmes

- Monitoring and Evaluation as inscribed in the programme documents connote implementers' effort in establishing M&E systems for the three livelihood programmes but are not elaborate enough to give a vivid description of how the systems will look like.
- Programme staff as well as key stakeholders of the three livelihood programmes has high level of awareness of the M&E activities on the three livelihood programmes.
- The programmes are applying some core M&E tools like the Logical Framework matrix (LFM), Performance Monitoring Plans (PMP), Annual work schedule, Performance indicator tracking table (PITT) but are not updated to reflect programme phase of implementation.
- The AILAP and VPP have a robust database for data capturing and retrieval but the database for SDIIP was not that robust.
- The M&E activities of the programmes were identified to be receiving technical support from the NGGL M&E Department and this has created limited ownership of the M&E system amongst staff of AILAP and VPP who do not have specific M&E officers.
- The Newmont M&E Unit established outside the livelihood programmes seem to be creating confusion among programme implementers in terms of who is in charge of M&E activities – either is the M&E department or programme implementers.
- The three programmes do not have a well laid down review and capacity building plan but practice these on ad hoc basis.

- The AILAP and VPP do not have an elaborate budget specifically for M&E activities as was identified with the SDIIP.
- Again the SDIIP have M&E personnel specifically responsible for coordinating the programme's M&E mandate. This was identified to be absent on the AILAP and VPP.

#### 5.2.2 Influence of M&E System on Livelihood Programmes and Key Stakeholders

- The implementation of an M&E systems in the three livelihood programmes has resulted in some best management practices. This is so because the study identified such practices like quality planning, easy reporting (accountability) and transparency amongst programme management functions.
- The implementation of M&E systems on the three livelihood programmes has resulted in the identification of strengths and weakness, drawing of lessons and making quality decisions out of M&E information. The utilization of M&E information has led to successful reformation exercises on the three livelihood programmes.

#### 5.2.3 Stakeholders Involvement in Implementation of M&E Systems

- The study identified that number of stakeholder groups/bodies and institutions are participating in the operations of the programmes. These included government agencies, non-governmental organizations, and beneficiary groups amongst others.
- The institutional collaboration among the livelihood programmes and some governmental sector departments was identified to be strong. This was particularly in the case of the collaboration between AILAP and DADU as well as the VPP and Social Welfare department.

- The different stakeholders identified do participate in the livelihood programmes at different levels of the programmes life cycle.

### 5.3 Conclusion

The following conclusions are made based on the study objectives and inferences from literature consulted as well as the key findings.

The study concludes that, Monitoring and Evaluation as a management function is dynamic and that it is difficult to find a programme that can boast of full integration of M&E best practices in its implementation process however development interventions are proven to reach high level of integration by following critical steps/processes and using some core M&E tools. This suggests that livelihood programmes in the course of implementation can be at different stages in term of integration of M&E system in the management functions. This is premised on the fact that, programme staff and stakeholders awareness of the presence of M&E systems can be high and that, some core tools like Logical Framework matrix (LFM), Performance Monitoring Plans (PMP), Annual work schedule, Performance indicator tracking table (PITT) as well could be present as identified on the three livelihood programmes but certain aspects of the system may not be functional or present. This was the case of the livelihood programmes not having Review and Capacity Building Plan, the AILAP and VPP not having specific budget allocation for M&E activities and M&E personnel. The SDIIP on the other hand was identified as not having a robust database. Thus the presence and utilization of these core tools as well contributes to the integration process of M&E in management functions.

The study further concludes that the institutionalization of effective M&E system on development programme interventions improves and shapes management decision-making process and the course of implementations (Bashagi, 2000; Livenson et al 1999). This is based on the fact that, the three livelihood programmes have been able to undergo some critical reforms which were influenced by the implementation and utilization of information from the M&E systems of the three livelihood programmes. Information generated through M&E provides project staff with a clearer basis for decision-making.

The study also concludes that stakeholder participation is key and imperative in the successful implementation of an effective M&E system for social development programmes (UNFPA, 2004). The study revealed that relevant stakeholders are participating in the operationalization of the M&E systems of the livelihood programmes at different stages of the project life cycle when required. Stakeholder participation has an additional value of bringing in stakeholders' understanding, creating a learning environment by sharing understanding, and facilitates smooth data collection to ensure that results are valid and comparable.

On a whole, the study has established that an M&E system is a critical management function that should be fundamental especially on livelihood programmes as it has many benefits. The findings from the study makes the M&E systems of the three livelihood programmes synonymous to what is described by Khan (2003) as a formal M&E system and conforms to standard M&E practices.

## 5.4 Recommendations

Based on the findings and conclusion of the study, the following are proposed as strategies or recommendations for improvements in the implementation of M&E systems of livelihood programmes;

- a) Development programme implementers should consider it imperative to specifically make human, budgetary and material resources allocations for M&E activities in order not to compromise on M&E activities in the case of constraints on broader programme"s budget.
- b) Development of a robust and sophisticated database for data capture and retrieval should be given high consideration in development programmes initiation and possibly hooked on an internet or intranet in order to facilitate accurate and timely reporting.
- c) Capacity building plan, programme review schedules and reflection plans should be developed and followed as done for the other core tools when setting up an M&E systems for livelihood programmes. This is to make M&E personnel more abreast with modules on M&E since the concept keeps on evolving. In-house and external capacity building plans should be developed for programme staff responsible for undertaking M&E activities. The capacity building plan should be focused on improving M&E system and formats to enhance the livelihood programmes M&E system. This is to help equip programme staff with the techniques and tools for an effective M&E system. This should be continuous and on a regular interval periods since the concept still evolves.
- d) Organizational structure of livelihood programmes should not exclude M&E experts as their absence on the programme could lead to a compromise on M&E activities by

programme staff. Better still, programme managers should take on board personnel with M&E background and or experience to boost the integration of M&E systems in development programmes.

- e) Livelihood programme implementers should intensify and formalize collaboration with relevant stakeholders such as local government agencies especially the District Planning and Coordinating Unit since it controls the policy /developmental agenda for the district.
- f) It is not advisable to initiate development programmes without recourse to M&E system since it creates a challenge of retro-fitting when the need arise along implementation. Also care should be taken in setting out M&E unit or department outside the implementing unit as it creates challenges in ownership and appreciation of the M&E system.

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## **APPENDIX I**

### **QUESTIONNAIRE ADMINISTRATION**

KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY  
COLLEGE OF ARCHITECTURE AND PLANNING  
FACULTY OF PLANNING AND LAND ECONOMY  
DEPARTMENT OF PLANNING

## A. QUESTIONNAIRE FOR PROJECT MANAGERS AND STAFF

This research is in partial fulfillment of the requirements for the award of MPhil. in Development Studies at the Kwame Nkrumah University of Science and Technology and as such is purely for academic purpose. It is being carried under the topic “*Streamlining monitoring and evaluation systems in managing livelihood programmes: the case of selected livelihood programmes in Ahafo mine area*”. Confidentiality of responses and anonymity of all respondents are highly assured.

### Part I. Background data

1. Which of the livelihood programmes do your work on?

- ☐ ☐ ☐
- a. AILAP      b. VPP      c. SDIIP

2. Please what is your position on the programme:

- a. Programme ☐ Manager/Coordinator      b. Supervisor ☐
- c. Officer ☐ d. Field technician ☐
- e. Others specify.....

3. What is your level of education?

- ☐ ☐ ☐
- a. Primary      b. SHS      c. Tertiary

4. How long have you been ion this programme

- ☐ ☐ ☐ ☐ ☐
- a. 1year      b. 2years      c. 3years      d. 4years      e. 5yaers and above

### Part 11. Integration and utilization of M&E systems

5. Is there any provision of M&E in your programme Plan?

- a. Yes ☐ b. No ☐

6. Are there personnel specifically responsible for undertaking M&E activities for the programme?

- a. Yes ☐ b. No ☐

5b. If yes, How many staff is responsible for monitoring and evaluation?

Please specify .....

6. Which of the following people undertake the M&E activities of your programme? *(Tick as many as applicable)*

- a. Programme Manager ☐
- b. Field technician ☐
- c. M&E personnel ☐
- d. Others ☐ (Please specify .....  
.....)

7. Which of the following is/are true about your programme? *(Tick as many as applicable)*

- a. Have specific programme goals and objectives ☐
- b. Have different levels of objectives (Output, Outcome, ☐ Impact)
- c. Expected results are clearly-stated for each level of ☐ objective

8. How does monitoring within your programme carried out? *(Tick as many as applicable)*

- Using formats ☐
- b. Observation ☐ by staff
- c. Interview with beneficiaries ☐
- d. Mixed methods (Specify .....  
.....)
- e. Others (Please specify .....)

9. What measures have the programme put in place to make M&E integral of you programme.

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10. Did you undertake a baseline study on your key performance indicators?

A. Not at all ☐ B. Some ☐ C. Extensively ☐

11. Which of the following M&E tools are present within the management of this program?

Tool	LFM/ indicators	Plan for data collection	Reporting flows and formats	Feedback and review plan	Capacity building design	Implementation schedule	Database
Tick ( ) <i>where applicable</i>							

12. Besides these tools, list some logistic or materials at your disposal that aids your M&E functions?

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13. Does your programme have a specific budget for undertaking M&E for the programme? a.

Yes ☐ b. No ☐

13b. If no, how is M&E activities within the programme funded?

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.....

14. Have any of your officials gained training in M&E modules? a. Yes ☐ b. No ☐

14b. If yes, how often are such training organized for your M&E personnel? *(Tick as many as applicable)*

a. Every ☐ quarter

b. Every 6 ☐ months

c. Every ☐ year

d. Once a ☐ while

15. Would you in future suggest the inclusion of capacity building in the M&E system for your project staff? a. Yes ☐ b. No ☐

15b. How often do you report on your key performance indicators? *(please tick (✓) as applicable)*

a. Weekly ☐

b. Monthly ☐

c. Quarterly ☐

d. Annually ☐

16. Which of the following stakeholders do you provide periodic reports to? *(tick those applicable)*

a. Programme ☐ beneficiaries

b. Programme ☐ staff

c. Programme Management ☐

d. Sponsors ☐

e. Others (Specify .....)

17. Have your programme undertaken an evaluation exercise before? a. Yes ☐ b. No ☐

18. If yes, under which of the following can the evaluation be classified? *(Tick as many as applicable)*

- a. Mid-term ☐
- b. End-of-project ☐ evaluations
- c. Impact ☐ evaluations

## Part II. Effectiveness of M&E systems

19. Does your programme receive feedback from your stakeholders? a. Yes ☐ b. No ☐

20. How are these feedbacks received? (*Tick as many as applicable*)

- a. Monitoring ☐ activities
- b. Evaluations ☐ reports
- c. Beneficiary ☐ complaints/reports

21. If yes, how is feedback from stakeholders treated?

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22. Which of the following does M&E stands for in your programme? ( *tick those applicable*)

- a. Transparency ☐ and accountability
- b. Basis for ☐ decision making
- c. Drawing ☐ lessons
- d. Identification of strengths and weaknesses ☐
- e. Others specify .....

23. What adjustments or changes come about as a result of your practice of M&E in your programme?

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24. What key specific challenges does the programme face in implementing M&E?

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### Part III. Stakeholder participation

25. Which key stakeholders are involved in your programme? Specify

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26. At what stage of the programme do you involve these stakeholders? *(please tick ☐ as applicable)*

Stage Stakeholder	Design	Planning	Implementation	Monitoring	Evaluation
District Assembly					
DADU					
Community Members					
Beneficiaries					
Others specify					

27. What impact has the involvement of the stakeholder brought to the programme?

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#### Part V. Suggestion for improvement.

28. As a livelihood programme implementer, in what ways can the M&E system of your programme be improved?

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*Thank you very much for your cooperation.*

### B. DISCUSSION GUIDE

#### BENEFICIARIES FOCUS GROUP DISCUSSIONS

#### Part I. Background data

1. Sex of names/sex of participants

2. Years of been part of the programme

**Part II. Programme M&E**

3. Are you aware of the M&E system of SDIIP/AILAP/VPP? If yes, how did you become aware of the M&E systems of the programmes?
4. Do programme officials visit your farms/ project for inspections? If yes how often – weekly, monthly, bi-monthly, quarterly, others (specify)
5. How many of such officials normally visit your farms for inspection?
6. During such visits, what do they do?
7. How do they collect data from you? – by conversation, observations, inspection of your crops/produce, use of data collection forms/set of questions, video/picture taking, others (specify).
8. How are your responses captured? – written or non-written
9. Are you allowed to present the challenges you face about the programme? Y/N
10. Are you given the opportunity to give out suggestions to help address the identified challenges?
11. Do they provide you with feedback on your suggestions/challenges? If yes, in what form does the feedback take? Periodic meetings, workshops, training sessions, subsequent field visits, others (specify)
12. Rate your satisfaction level with the field monitoring carried out by the programme officials?
13. Would you say you are involved in the monitoring of your farm? Explain your answer
- .....
14. Do you think programme officials have to involve you more than they currently do? Explain your answer.....

15. Do other people outside the programme come to you for data? Y/N
16. If yes, from which institution(s)?
17. Are you aware of past Evaluations concerning the programme which was carried out by people outside the programme?
18. Do you know where they came from?
19. Do you know why they undertake such exercises?
20. Were you involved/do you know other beneficiaries who were involved in the exercise?
21. Have they been providing you with feedback from such exercises?
22. Suggest ways of improving the entire evaluation process of the programme.

### **C. INTERVIEW GUIDE**

#### **INSTITUTIONAL INTERVIEWS**

##### **Part I. Background data**

1. Sex of names/sex of interviewee
2. Institution/Title/position
3. Years of been part of the programme

## Part I. Programme M&E

4. Are you aware of the livelihood programmes (i.e. SDIIP/AIALP/VPP) operating within the district? If yes how did you become aware?
5. Were you or any staff member involved in the planning and implementation of the programmes?
6. If yes how are they involved?
7. How do you see the importance of the involvement of such people in the programme? Please explain your answer.....
8. Are you aware whether these programmes have an M&E system?
9. If yes, how did you become aware of the M&E systems of the programmes?
10. How do you see the monitoring activities of these programmes?
11. How do you see beneficiaries' involvement in the monitoring and evaluation activities of these programmes?
12. Besides the beneficiaries do you know any other stakeholders involved in the M&E of the programme?
13. How do you see the importance of such involvement of the beneficiaries/stakeholders in the monitoring and evaluation of these programmes?
14. What are some of the benefits?
15. Rate your satisfaction level with the monitoring carried out by the programme officials? On a scale of 10.
16. What can be done to improve the involvement of beneficiaries /stakeholders in the monitoring of the programmes?
17. Besides the programme official do other people outside the programme come to you for data concerning these programmes?
18. Do you know where they come from?
19. Do you know why they undertake these exercises? Is it on behalf of the programmes?
20. Are you allowed to give out your challenges?
21. How are your responses captured – written or non-written?

22. What has changed as a result of these visits?
23. Do they provide you with feedback on suggestion/challenges you provide to them?
24. What is your overall impression about the involvement of other stakeholders in M&E systems of the programmes?.

THANK YOU

