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Adaptation of Results Based Monitoring and Evaluation of local NGOs in Ethiopia

Case of YeAmlak Lijoch Foundation

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A Project Work Submitted in partial fulfillment of the requirements for the Master of Arts Degree in Project Management (MAPM)

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Addis Ababa, Ethiopia

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Statement of Declaration

I, Tewfit Ayalneh, declare that this project work entitled **“Adaptation of Results Based Monitoring and Evaluation in Ethiopia:** Case of YeAmlak Lijoch Foundation**”** is outcome of my own effort and that all source of materials used for the study have been duly acknowledged. This study has not been submitted anywhere for any degree or award.

Declared by: Tewfit Ayalneh

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Date: ______________________

Certification

This is to certify that Tewfit Ayalneh has carried out this project work entitled "**Adaptation of Results Based Monitoring and Evaluation in Ethiopia:** Case of YeAmlak Lijoch Foundation" under my supervision. This work is original in nature, and it is sufficient for submission as the partial fulfillment for the award degree in Master of Art in Project Management.

Advisor: Wubeshet Bekalu (PhD)

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Addis Ababa University
School of Graduate Studies

"**Adaptation of Results Based Monitoring and Evaluation in Ethiopia:** Case of YeAmlak Lijoch Foundation"

By Tewfit Ayalneh Mulatu

Submitted in partial fulfillment for the degree of Master of Arts in Project Management; and complies with the regulations of the University and meets the accepted standards with respect to originality and quality.

Approved By the Examining Committee:

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External Examiner	**Signature**	**Date**
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Internal Examiner	**Signature**	**Date**
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Advisor	**Signature**	**Date**

Abstract

The purpose of this study is to identify the challenge factors and the success criterion of RBME implementation in Ethiopia. The researcher uses an interpretivism paradigm with a qualitative single case study approach to explore the phenomenon in depth. The study's target population is grassroot local NGOs in Ethiopia with the aspiration to implement RBME. The sample size was selected by means of non-probability purposeful sampling to select an appropriate case to fit the parameters. Data was collected through focus group discussions, interviews and various documents that pertain to the study. The data was analyzed using Yin's (2009) 'relying on propositions' strategy and 'explanation building' analysis to ensure credibility and validity of the outcome. This study will identify capacity and limited resources as the main factors that limit the adoption of a results-based monitoring and evaluation systems in Ethiopia. It also identifies that conducting a feasibility assessment prior to implementation helps to ensure the commitment of stakeholder and continued adequate training for staff post-implementation is vital to maintain and sustain the RBME system. The outcome of this research can be useful in addressing the challenges faced by grassroot local NGOs in Ethiopia in implementing practices that emanate from abroad.

Key Words: Result-Based Management, Result-Based Monitoring and Evaluation, Local NGOs, Project Monitoring and Evaluation

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Table of Contents

List of Figures 4

List of Tables 4

Acronyms 5

CHAPTER ONE: INTRODUCTION 6

1.1 Background of the Study 6

1.2 Background of YLF 7

1.2.1 YLF and RBME 9

1.3 Statement of the Problem 9

1.4 Research Objectives 10

1.4.1 General Objective 10

1.4.2 Specific objectives 10

1.4.3 Research Questions 10

1.5 Significance of Study 11

1.6 Scope of the Study 11

1.7 Operational Definitions of Key Terms 12

1.8 Organization of the Study 13

CHAPTER TWO: LITERATURE REVIEW 15

2.1 Background Literature Review 15

2.1.1 Project Management 15

2.1.2 Non-Governmental Organizations 16

2.1.3 Monitoring and Evaluation 17

2.1.4 Purpose and Importance of M&E 17

2.1.5 Result Based Management 18

2.1.6 Result Based Monitoring and Evaluation 20

2.1.7 Result Based Monitoring and Evaluation in NGOs 21

2.2 Theoretical Literature Review 23

2.2.1 Challenge Factors of RBME Implementation 24

2.2.2 Transitioning from traditional ME to RBME 27

CHAPTER THREE: RESEARCH METHODOLOGY **36**

3.1 Research Paradigm, Approach and Design *36*

3.1.1 Research Paradigm 36

3.1.2 Research Approach 37

3.1.3 Research design 38

3.2 Population and Sampling *39*

3.2.1 Target Population and Accessible Population 39

3.3 Data Collection and Analysis *42*

3.3.1 Primary Data 42

3.4 Credibility and Validity *46*

3.5 Ethical Considerations *47*

CHAPTER FOUR: RESULTS AND DISCUSSION **49**

4.1 Response rate and Demographic data *49*

4.1.1 Focus Group Discussion 49

4.1.2 Interviews 51

4.2 Challenge Factors of RBME *52*

4.2.1 Organizational Challenges 52

4.2.2 Technical challenges 54

4.3 Assessment for RBME *56*

4.3.1 Formulating Outcomes and Objectives 57

4.3.2 Selecting Outcome Indicators to Monitor 58

4.3.3 Gathering Baseline Information 58

4.3.4 Setting Specific Targets 59

4.3.5 Regularity of Data Collection 60

4.4 Delimitation of the Study *65*

4.5 Conceptual Framework *66*

CHAPTER FIVE: SUMMARY, CONCLUSION, AND RECOMMENDATIONS **67**

5.1 Summary *67*

5.2 Conclusion *69*

5.3 Recommendations for the Practitioner *70*

5.4 Suggestions for Further Study *72*

References **73**

Appendix I: Interview and Focus Group Discussion Guide **76**

Appendix II: Sample Logical Framework **81**

Appendix III: Activities Assignment Sheet **82**

Appendix IV: Progress Report **83**

Appendix V: Health Center Report **84**

List of Figures

Figure 2.1.5-1: Results-Based Management Life Cycle ………………………. 19

Figure 2.2.2-1: Results-Based Monitoring ….………………………………….. 30

Figure 4.1.1-1 BOD Gender Demography..……………………………………... 51

Figure 4.1.1-2 BOD Age Distribution …………………………………………….. 51

Figure 4.5-1 Conceptual Framework (Research finding) .…………….……… 66

List of Tables

Table 4.1.1-1 BOD Roles and Responsibility ……………………………….…… 50

Table 4.1.1-2 BOD Education Background …………………………………… 50

Acronyms

KPI	Key Performance Index
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organization
NLKK	Nifas-Silk Lafto Kifle Ketema
RBM	Result Based Management
RBME	Result Based Monitoring and Evaluation
YLF	YeAmlak Lijoch Foundation
YEAB	YeAmlak Aras Bet

CHAPTER ONE: INTRODUCTION

This chapter covers the background of the study; background of the organization, statement of the problem; research objectives; significance of the study; scope of the study; operational definition of key terms, and organization of the study.

1.1 Background of the Study

A Non-Governmental Organization (NGO) refers to an organization that operates independently from and is not overseen by any government entity (Anderson, 2011). NGOs operate through various funding sources, national and international funds are utilized by means of grants, sponsors and individual donors solicited by the organization. These funds usually come with a precondition to ensure that the fund is used efficiently for the proposed purpose or in line with the goal of the organization. One of the difficulties of an NGO is to assure funders that the funds are utilized accordingly and to account for the impact of their funds. This is mainly due to, unlike for-profit organization, NGOs could not easily track the impact or their activities as they do not attach a monetary value as an outcome of their projects.

In-order to ensure accountability in NGOs, more than 50 international agencies and over 100 countries came together in 2005 to endorse the Paris Declaration on Aid Effectiveness (2005), in short known as the "Paris Declaration". The Paris Declaration was implemented to ensure that aid was having a discernable impact on beneficiaries and to enable funders to understand what does and doesn't work via firsthand experience. One of the five fundamental principle that came out of the Paris Declaration was results oriented reporting and assessment frameworks to achieving aid effectiveness (McKernan, Kennedy and Aldred 2016). Thus, Result Based Management (RBM) became a primary approach to manage projects in NGOs.

Result-based Monitoring and Evaluation (RBME) is a Result-based Management (RBM) tool used to measure the outcome and impact of a project by comparing the activities and outputs of the project against the goals of the organization. It also provides a result-based reporting to all concerned stakeholder by linking project activities with goals, thus ensuring accountability and transparency. Therefore, most international NGOs have been implementing RBME as a primary tool to report to their funders and ensure aid effectiveness. (United Nations Development Group 2010)

Today we observe NGOs in Ethiopia, like the Irish Aid Ethiopia (ITAD 2012), implementing RBME to manage their projects and show their efficiency to donors. However, local grassroot NGOs in Ethiopia encounter several challenges implementing RBME. This study will examine the challenges encountered by these local grassroot organization and identify a successful RBME implementation procedure in a local NGO in Ethiopia. It will do so by means of theoretical concepts from literatures avail and an in-depth single case study on Ye-Amlak Lijoch Foundation (YLF)'s, YeAmlak Aras Bet (YEAB) project.

1.2 Background of YLF

YLF is a nonprofit that was established in May 2020. Located in the Nifas Silk Kifle Ketema, their mission is to improve the socioeconomic situation of its community's impoverished households. It plans to accomplish this through awareness-raising education, counseling, financial aid and material assistance to promote self-sufficiency with the ultimate goal of reducing the number of street kids.

Their programs are subdivided into four pillars: YeAmlak Godana, Family Livelihood, Family Capacity Building, and YeAmlak Aras Bet (YEAB). This study focuses on Pillar 1: YEAB project.

YEAB is an initiative dedicated to assist impoverished and/or homeless postpartum women. It currently has a signed memorandum of understanding with three Health Centers in the Nifas Silk Kifle Ketema to identify and disseminate aid needed to their admitted laboring women. Their services include but are not limited to providing meals on site at the health center; delivering a care package fully equipped with clothing and sanitary products for mother and child; money to cover transportation to their preferred destination; and provide counseling and act as a mediator for family reconciliation if needed. In situations where the new mother doesn’t have a place to go, she is provided the option to stay at their facility, referred to as Ye’Mariam Aras Bet.

Ye’Mariam Aras Bet is a safe haven for both mother and newborn that is fully equipped to serve up to ten mothers and their infants at a time. It has a live-in house mother that monitors and mentors the new mothers on family life, caring for a newborn and basic housekeeping and meal preparation. The shelter provides a sanitary and safe boarding for mother and child. It encourages breast feeding and provides the mother with a nourishing meal to aid in lactation. During their six months stay at Ye’Mariam Aras Bet, the new mothers are provided with the necessary training based of their strength and aspiration to encourage self-sufficiency. A follow through with required resources is also provided by YEAB for the mothers to pursue their individual goals and ensure their stability.

1.2.1 YLF and RBME

YLF is a new organization that started with the intention of implementing a result-based management system. It conducted a survey to understand the dire need of their community prior to starting the program and set goals and objectives to ensure the programs made an impact. Unfortunately, due to lack of experience and expertise their current monitoring and evaluation system is focused on inputs and outputs of the program and a narrative reporting of client stories and their follow up visits. They are currently striving to meet the RBME system requirements to account for outcomes and impact but at no avail.

1.3 Statement of the Problem

There are many challenge factors that attribute to implementing RBME in the not-for-profit sector, which are more pronounced in developing countries. According to Kusek and Rist (2004) RBME is an ongoing system that requires a lot of resources. As NGOs in developing countries, the need of the community takes precedence. Thus, the financial need from both the system and the program derives the NGO to cut corners during implementation to save money. Consequently, implementing a system that is ineffective, unreliable and lacks validity to truly measure the impact of their activities and their overall efficacy.

This study examines the challenges that local NGOs face in implementing RBME in Ethiopia by undertaking a case study of YLF. It will explore the challenges that exists by comparing their experience with the theoretical concepts stated on “Implementing Results-Based Management in the Public Sector of Developing Countries: What Should be Considered?” (A. and G. M. 2014) and its implementation against the best practices set out in the World Banks “Ten steps to Result-Based Monitoring and Evaluation” (Kusek and Rist 2004) guidelines. Furthermore, this study will introduce a conceptual model that will theoretically identify the key challenges that are faced by NGOs in Ethiopia while implementing RBME.

In addition, very little is known about the challenges that exist when implementing RBME within the context of local NGOs in Ethiopia. There is a lack of literature and procedural guidelines for practitioners and researchers to identify issues before hand and how to improve the adoption of RBME. Thus, this study will contribute to our knowledge on RBME adoption and can be a corner stone for future research.

1.4 Research Objectives

1.4.1 General Objective

The general objective of this research is to explore the existing limitations in implementing RBME in a local non-profit organization in Ethiopia and identify successful procedural guidelines by taking the case of YLF's YEAB project.

1.4.2 Specific objectives

The specific objective of this research is:

- To examine the challenge factors affecting RBME implementation in Ethiopia.
- To examine the requirements for effective implementation of RBME.

1.4.3 Research Questions

1. What are the challenge factors of implementing RBME in a local grassroot NGO in Ethiopia?
2. What are the proper procedures to ensure a successful RBME implementation in a local grassroot NGO in Ethiopia?

1.5 Significance of Study

The endorsement of the Paris Declaration has created a trend in funders requiring a RBME system from NGOs. This widely accepted M&E system is also a challenging system that is still not well implemented specially in the developing world due to various challenge factors.

In Ethiopia, where local NGOs barely conduct proper monitoring and evaluation, the added pressure of a result-based system imposes a burden on the organization. This research will provide an understanding of how to implement and sustain a RBME system in a local NGO and provide insights to the challenges that arise from it. This will ease the implementation process for local NGOs and enable them to account for their funds received by showing its overall impact.

The findings and results of this paper will be provided to YLF to help improve their implementation procedures and make the needed adjustments to have an effective RBME system and provide a guideline on how to sustain it.

This research will also aid future studies in understanding challenges of implementing RBME in the local setting of a developing country and can be used as a refence tool by future scholars as a base for future exploration of the subject matter.

1.6 Scope of the Study

The general purpose of the study is to analyze the challenge factors that exist in implementing RBME and identify proper procedures to ease the process. This research paper is a single case study regarding the challenges faced by grassroot startup NGOs in Addis Ababa, Ethiopia that are striving to adopt a RBME system. The researcher chose these NGOs due to their size and lack of onset organizational culture to introduce a new system or adjust their current system. They also have an added incentive to implement RBME not only as a managerial tool to help account for their impact but also due to their aspiration to grow bigger and gain more funding. YLF was chosen because it fulfilled these parameters set for the study and the organization was enthusiastic to cooperate by providing the needed information.

Internationally funded organizations and nationally acclaimed organization do not have the free will to implement RBME. They have a top-down pressure to implement the system and provided with resources to successfully implement RBME. Additional trainings and support for their staff is also provided if needed. All without the pressure of needing to raise additional funds. Thus, lacking in the actual experience of challenges encountered as an NGO in a developing country. For this reason, the researcher chose to focus the study on grassroot local NGOs.

The study utilizes theoretical concepts form “Implementing Results-Based Management in the Public Sector of Developing Countries: What Should be Considered?” (A. and G. M. 2014) and the best practices set out in the World Banks “Ten steps to Result-Based Monitoring and Evaluation” (Kusek and Rist 2004) to aid the research. Theoretical concepts were used due to the lack of empirical literature regarding RBME as it pertains to grassroot local NGOs in Ethiopia.

1.7 Operational Definitions of Key Terms

The operational definitions of key terms have been taken verbatim from the OECD ‘Glossary of Key Terms in Evaluation and Results Based Management’ (2010) to ensure uniformity, unless specified.

Activity: Actions taken, or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs.

Key Performance Indicator (KPI): A variable that allows the verification of changes in the development intervention or shows results relative to what was planned.

Logical Framework: Management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes, impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution, and evaluation of a development intervention.

Objective/Goal: The higher-order objective to which a development intervention is intended to contribute.

Outcome: The likely or achieved short-term and medium-term effects of an intervention's outputs.

Results/Impact: Positive and negative, primary, and secondary long-term effects produced by a development intervention, directly or indirectly, intended, or unintended.

Theory of Change: A 'theory of change' explains how activities are understood to produce a series of results that contribute to achieving the final intended impacts. It can be developed for any level of intervention – an event, a project, a program, a policy, a strategy, or an organization. (Rogers 2014)

1.8 Organization of the Study

This study is composed of five chapter. The first chapter will cover the background of the study, statements of the problem, research objectives, the significance of the study, the scope of the study, and the operational definitions of key terms.

In Chapter Two, the researcher will provide a literature review that sheds light into the current understanding of the problem and the theoretical concept that is already available. It addresses the historic evolution of Project Management; Monitoring and

Evaluation and its purpose and importance; Result Based Management; Result Based Monitoring and Evaluation and as it pertains to NGO, the process of implementing it along with the challenge factors it faces.

The research methodology is addressed in Chapter Three. It covers the research paradigm, approach, design, population and sampling, data collection and analysis techniques. It will also cover the credibility and validity of the data and the ethical considerations of the research.

Chapter Four will address the response rate and the demographic data. It will continue to present the results and discussion basing it of the challenge factors of RBME implementation and the assessment for RBME implementation. It will proceed to presenting its conceptual framework based of the findings of the study.

The fifth chapter is the final chapter and provides the Summary, Conclusion, and the Recommendations for both practitioners and future researchers. Following will be the list of reference materials the researcher used and an appendix section with various tools the researcher used to conduct the research and templates for RBME management and reporting.

CHAPTER TWO: LITERATURE REVIEW

This chapter consists of two major parts, the Background Literature Review and Theoretical Literature Review. The background literature review will cover the evolution of Project Management; NGOs; Conventional Monitoring and Evaluation and its purpose and importance; Result Based Management and its Monitoring and Evaluation system including as it pertains to NGOs. Theoretical concepts of the challenge factors and best practice in RBME implementation are identified from previous literature as it pertains to developing countries. Due to the inductive nature of the research, contextual framework is provided at the end of Chapter 4.

2.1 Background Literature Review

This section will cover the evolution and concepts of NGO's, Project Management, Result Based Management and their respective monitoring and evaluation systems.

2.1.1 Project Management

"Projects have been with us since the coming of mankind", especially considering the beginning of organized hunting and farming, it attests to our intrinsic ability to "conceive goals, develop plans for achieving them and delivering desired outcomes." (Oxford Handbooks 2012). Along with the evolution of man, tools and disciplines were created to simplify, create uniformity in implementation and create better understanding of the subject matter. The Oxford Handbook of Project Management (2012) continues to explain that until the 1950s project management was just an informal discipline under management.

In the mid to late 1950s, Project Management was recognized as a standalone discipline by the US Airforce to aid in the development of missiles. In the early 1960s general system theories were applied to business interaction and thus initiating the first attempt to see organizations as integrated entities. This resulted in the beginning of modern Project Management (PMI 2017). Through the decades project management evolved and was implemented in many projects under different industries including NGOs. Adaptation, strategic thinking, and globalization were the new trends in the 2000s, (PMI 2017), giving insight into how Project Management needed to adopt to the project type at hand, connect business practice with strategy and consider globalization.

2.1.2 Non-Governmental Organizations

The United Nations defines NGOs as "a not-for profit, voluntary citizen's group that is organized on a local, national or international level to address issues in support of the public good" funded by monetary or in-kind donation (United Nation n.d.). According to Anderson (2011) an NGO refers to an entity that operates independently from any government without oversight or representation from that government but may receive funding from it.

Therefore, we can conclude that NGOs are a not-for-profit organization that do not represent nor are managed by governments. NGOs utilize donations, both monetary and in kind, to run their projects. Due to the not-for-profit nature of the organization, they cannot measure their impact via monetary terms like profits and dividends. Thus, making it "vital for NGOs to showcase tangible results and exhibit discernible improvements in the lives of the beneficiaries or the lack of it with clear data evidence." This involves careful planning, laborious data collection, careful implementation, and thorough analysis and reporting. This is where M&E plays a vital role. (TolaData 2019)

2.1.3 Monitoring and Evaluation

Monitoring and evaluation (M&E) is a process tool used in project management. They allow program managers to assess how a project is doing over time, how effectively it is being implemented, and any variation between the planned and achieved results. (ILO 2015)

Monitoring helps determine whether projects are progressing on a timely manner and in accordance with the work plan and budget. According to the International Labor Organization (2015), monitoring is defined as "a continuous process of collecting and analyzing information about a program and comparing actual against planned results in order to judge how well the intervention is being implemented." It gives information on where a policy, program or project is at any given time relative to respective goals and outcomes. (OECD 2002)

Evaluation on the other hand focuses on the effectiveness of projects. It is defined as a "systematic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results" to determine its overall worth. Its objective is to provide credible information for decision-makers. (OECD 2002)

From the two definitions above, it is immediately evident that M&E are distinct yet complementary in that when a monitoring system alerts that the efforts are off track, good evaluative data can clarify the patterns noted by the monitoring system (Kusek and Rist, 2004). Thereby making Monitoring and Evaluation "an essential component of any intervention, project, or program." (Frankel and Gage, 2016).

2.1.4 Purpose and Importance of M&E

Frankel and Gage's 'M&E Fundamentals: A Self-Guided Mini-Course' (2016) list the purpose and importance of M&E as a tool to make informed decisions based on objective evidence regarding program operations and service delivery. They further state that it helps to assess the extent of desired impact the program is having or has had and where corrections are needed. Lastly it helps to meet organizational reporting assure donors that their investments have been worthwhile or if alternative approaches should be considered.

Similarly, Hobson, et al. (2014) state that M&E can assess and demonstrate project effectiveness to achieve objectives and/or its impact on people's lives. They further assert that it helps to improve internal learning and decision making about project design, how the group operates, and its implementation. M&E ensures accountability to stakeholders and thus empower and motivate stakeholders. In addition, it also enables to share learning with other communities and to influence government policy while contributing to the evidence base about effectiveness and the limits of community action.

2.1.5 Result Based Management

There are many definitions of Result Based Management. According to United Nation Children's Fund (UNICEF 2017), Results-based management (RBM) is an approach that ensures the direct and/or indirect contribution of all actors are directed to a defined set of goals. The United Nations Development Group (UNDG) defines it as a strategy in which all stakeholders are either directly or indirectly contributing to the attainment of a set of development goals and ensuring that their processes, products, and services contribute to the achievement of those outcomes.

The UNDG (2010) further explains RBM as a life-cycle approach that begins with planning by setting a vision and defining a results framework, also known as a logical framework. Once the results are set, it proceeds to creating a program to meet the set goals and continue to plan for monitoring and evaluation. It proceeds to implementation phase using monitoring to ensure results are being achieved. Lastly, it manages the program where evaluation plays a vital role to incorporate valuable information for decision making and lessons learned. It continues to explain that RBM is based on clearly defined results accountability and demands continuous monitoring and self-evaluation of progress toward goals and reporting on performance. (United Nations Development Group 2010)

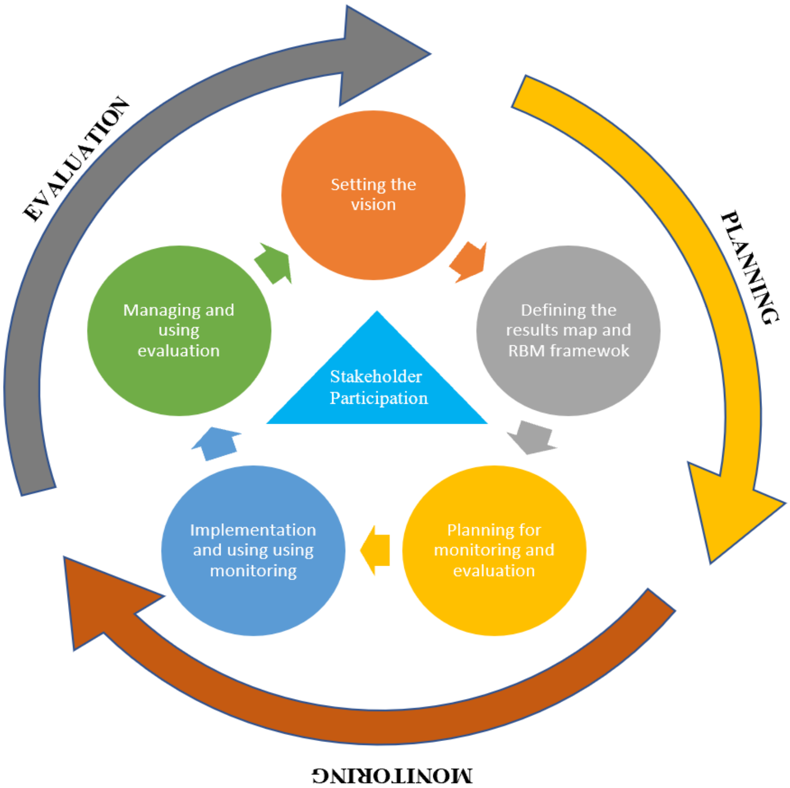

*Figure **Error! No text of specified style in document.**.1.5-1: Results-Based Management Life Cycle*
Source: Adapted from UNDP, Handbook on Planning, Monitoring and Evaluating for Development Results, 2009

2.1.6 Result Based Monitoring and Evaluation

Result Based Monitoring and Evaluation (RBME) is a powerful public management tool that can be used to help stakeholders track progress and demonstrate the impact of a given project, program, or policy (Kusek and Rist 2004). It is a RBM tool that helps to manage and implement result focused aid and to use available data to improve decision making process. (OECD 2008)

Results-based monitoring and evaluation is different from traditional implementation-focused M&E in that it moves beyond inputs and outputs to a greater focus on outcomes and impact (Kusek and Rist 2004). The result-centric approach of RBME, unlike the activity-centric approach of traditional M&E, allows the organization to modify and adjust to both the theory of change and the implementation processes to support the attainment of anticipated outcomes more directly. It further states that a RBME system focuses the entity on achieving outcomes, and manages to each indicator, whereas activity-based management system focuses the organization on working against a set of identified activities, without aligning these activities to outcomes. This makes it difficult to understand how the implementation of these activities results in improved performance. In addition, it further declares that the traditional M&E only accounts for an appropriate timely completion of an activity and doesn’t account for the achievement of results. (Imas and Rist 2009)

According to World Bank (2004), RBME has key characteristics that make it different from conventional monitoring and evaluation systems. The use of baseline data to describe the problem or situation before the intervention enables the organization to evaluate the impact of the intervention and monitor the progress made through it. Its ability to utilize indicators for outcomes and output data helps to measure the contributions towards achieving those outcomes. Its special reporting style with both qualitative and quantitative information on the progress toward outcomes helps in decision making. Lastly, it is undertaken in conjunction with strategic partners, thus captures information on success or failure of partnership strategy in achieving desired outcomes.

2.1.7 Result Based Monitoring and Evaluation in NGOs

As afore mentioned, the United Nations defines NGOs as "a not-for profit, voluntary citizen's group that is organized on a local, national or international level to address issues in support of the public good" funded by monetary or in-kind donation. Due to their non-profit nature, they cannot measure impact via monetary terms like profits and dividends. So, its "vital for NGOs to showcase tangible results and exhibit discernible improvements in the lives of the beneficiaries or the lack of it with clear data evidence" (TolaData, 2019).

The 2005 Paris Declaration on Aid Effectiveness was to "resolve to take far-reaching and monitorable actions" (OECD, 2005) after recognizing that aid should be producing more impact. It was endorsed to "firmly base future aid efforts on first-hand experience of what works and does not work". In relation to this, McKernan, et al (2016) further explained that one of the five fundamental principle that came out of the Paris Declaration was results oriented reporting and assessment frameworks for achieving aid effectiveness. The procession for change continued in 2011 with the High-Level Forum on Aid Effectiveness held in Busan, South Korea showing a strong focus in the nonprofit sector on results and managing by results to help deliver on aid effectiveness. Ethiopia was one of the countries present to endorse the agenda. (OECD 2011).

Kusek and Rist (2004) assert that globalization and growing pressures on organizations around the world to be more responsive to the demands of stakeholders has required the implementation of a RBME to policies, programs, and projects. Basing its findings from "WHO Monitoring and Evaluation Toolkit" and "UN WOMEN What is Monitoring and Evaluation", TolaData (2019) lists top five main reasons why RBME is vital for NGOs:

1. **Greater transparency and accountability:** It enables NGOs to track, analyze and report on findings throughout the project cycle to concerned stakeholder. This creates a full understanding of all actions taken and decisions made throughout the project for all stakeholders. Thus, encouraging collaborative informed decision making on strategy improvements and project operations.

2. **Improved project performance** by providing a better understanding of what constituents need to define the scope and design of relevant, measurable, and achievable objectives. It also clarifies the process required that will lead to attainment of outputs and deliverables of the project. Thus provides a planned end-to-end indicator management system. It is also useful to identify effective tools and methodologies that measure, analyze and demonstrate the efficacy of every intervention and its impact on expected outcomes. Enabling the tracking of progress and to identify gaps as they arise in order to make timely alterations to achieve the desired goals.

3. **Effective resource allocation** by facilitating the estimation of the value and impact of project components. The system enables teams to verify what works and where more money should be invested allowing them to make appropriate changes to the financial plan on a regular basis to avoid unfavorable outcomes.

4. **Promotes learning and data-driven decision making** by providing quantifiable results to help involved parties learn from project successes and challenges. As a result, involved parties are better prepared to respond to the ever-evolving project situations, determine what works, why it works, and how it could be improved based on data evidence instead of assumptions. Furthermore, teams can establish links between past, present, and future actions to improve project implementation and identify which activities can be scaled up to ensure the sustainability of the current and future projects.

5. **Promotes systematic management of organization** by encouraging organizations to gather, disseminate and utilize information and data to improve their internal operations. It also adds value to their organization so they can focus on their objectives. RBME also streamlines organizational procedures to achieve constructive coordination among different stakeholders and organizational units during information gathering, utilizing, and disseminating.

2.2 Theoretical Literature Review

According to Kusek and Rist (2004) developing countries may lack the institutional, human, and technical capacity to design, implement, and use RBME systems. International NGOs in Ethiopia, like Irish Aid Ethiopia (ITAD 2012), have been using a RBME system since 2008. According to ITAD (2012), resources were readily available to them to implement and run the program with training and a mandated change in organizational culture. Thus, cannot relate to the actual experience of local Ethiopian NGOs that lack the international support.

This study couldn’t find prior research on the challenges of implementing RBME faced by local NGOs in developing countries as it pertains to Ethiopia. In addition, there is no prior research that outlines procedures to facilitate the adoption of RBME. As a result, this study has utilized theoretical literature review to identify challenges assessed from a general perspective of a developing country and incorporated recommendations from the World Bank published guideline to gain an in-depth understanding of the phenomenon through a single case study. This section covers those theoretical concepts of the study as it applies to the challenge factors of RBME implementation and the implementation process of RBME identified in previous studies.

2.2.1 Challenge Factors of RBME Implementation

Qualitative research conducted in 2014 titled "Implementing Result-Based Management in the Public Sector of Developing Countries: What Should be Considered" by Pazvakavambwa A. and Steyn G. M. states that challenges faced by both developed and developing countries are organizational and behavioral in nature. This study was a product of an intense literature review and theoretical concepts from various sources as it applies to public sectors in developing country but does not include an assessment of a live organization. The study covers RBME and its challenges in a narrative form as informative research and categorizes these challenges as Organizational and Technical Challenges.

According to the research, organizational challenges are those encountered by the organization prior to implementing RBME and relate to fostering the right climate. They further broke down these challenges into ten areas:

1. **Change in organizational culture**: this challenge arises from the resistance of management and staff to adapt to a new system due to their comfort in the current system. Another reason is resistance due to the lack of understanding from the senior management on the benefits of the RBME system.

2. **Importing western models of RBM**: importing models of RBM from developed countries that doesn’t incorporate the county’s history and its unique political ideology, internal priorities and available resources creates a challenge. Instead RBM strategies should be adopted to meet the specific needs.
3. **Lack of incentives at both organizational and individual level**: to encourage better performance form both individuals and/or the organization by introducing monetary and non-monetary incentives. When introducing monetary incentives, it should be done with caution since it could lead to distorting and cheating when presenting information.
4. **Setting unrealistic expectations**: indicators that are not measurable, logically, or appropriately linked to results are threatening to the system. Indicators that are too complex, too high, or too low create a false perception and lead to a misbelief of either failure or high achievement.
5. **Failure to get buy-in**: RBME is a costly system both financially and in time, especially since it requires continued improvement and sustainability. Thus, leading to failure in buy in and use of the system due to the financial constraints of developing countries and high financial requirement of RBM.
6. **Lack of expertise and experience**: a major obstacle in implementing RBM is the relative lack of expertise and experience of managers and staff. Lack in institutional capacity, in addition to human and financial constraints, are hindering training initiatives for employees.
7. **Setting outcome expectations**: for an organization that is used to reporting on outputs and lack understanding or experience in outcomes, it is a challenge to establish reasonable outcome expectations about the level of expected performance.

8. **Selecting relevant performance information**: Selectivity implies that some information in the organization would not be collected or reported on and takes years for organizations experience to determine which data is required and worth collecting.
9. **Goal displacement**: distorting and manipulating information to stand out and show success. Especially when faced with unrealistic task with inadequate resources for performing the task.
10. **Taking accountability for outcomes**: which may be influenced by factors they can or cannot control.

Technical challenges, on the other hand, are those encountered due to the expertise required to measure and report information. They identified six major technical challenges:

1. Developing meaningful measurement of outcomes by identifying clear objectives.
2. Developing accurate measures of performance and providing efficient systems for data collection.
3. Attributing outcomes to actions by convincingly showing that such results are the outcomes of specific interventions of an organization and not of any other factors.
4. Linking financial and performance information to establish what the costs of the results of a particular program entail.
5. Poor quality of data and information in governments and the risk of making inferior decisions based on such data.
6. Lack of resources for appropriate training and support of practitioners' knowledge of RBM thus adversely affect information systems.
7. Lack of sufficient funds for employing RBM altogether.

The research concludes with a recommendation to assess an empirical study in public sectors of developing countries to determine what results were already obtained in introducing RBM and to show how such organizations addressed the challenges and problems outlined. (A. and G. M., 2014, pp. 253 - 256)

2.2.2 Transitioning from Traditional ME to RBME

Most international aid organizations, including the World Bank (2013) and Design, Monitoring and Evaluation for Peace (Search for Common Ground 2017), refer to the "Ten Steps to a Results-Based Monitoring and Evaluation System" by Kusek and Rist (2004) as a great tool to implement RBME in any environment, and especially in the developing countries. This section is a paraphrase of the processes inscribed on the book and is proved to be a great guide to implement a results-based system in both developed and developing countries. Although the book mostly discusses RBME as applicable to a country, it also states that the same process can be applied to a sector, a region, a program, or even an individual project.

According to Kusek and Rist (2004) the crucial factors in building a RBME system is to formulate outcomes and goals; select outcome indicators to monitor; gather baseline information on the current condition; set specific targets and dates for reaching them; regularly collect data to assess whether the targets are being met; and to analyze and report the results. They further state that although there are many procedures and concepts behind the implementation of RBME these factors remain constant. Kusek and Rist (2004) incorporated these crucial factors into a ten-step implementation procedure. The inclusion of details on how to build, maintain and sustain a RBME system, with the addition of a unique readiness assessment tool makes it different from most implementation procedures. (Kusek and Rist 2004).

Step 1: The process of implementing RBME starts with a Readiness Assessment. "Readiness Assessment" is a questionnaire-based assessment tool that addresses issues such as the presence or absence of champions in the organization, the challenges to building a system, who will own the system, and who will resist the system. It is composed of three parts that assess the organizations need and drive for building the RBME system, understanding the responsibilities and roles of stakeholders, and overall assessment of the capacity available, underway or possibility of it in the future. It will further go into assessing the overall reasoning behind the organizations motivation to implement RBME, ability to sustain it through out with as needed capacity building and more over understand how it plans to utilize the system to best fit the organizations need.

Step 2: Following the readiness assessment, outcomes of the RBME should be set and agreed upon. To achieve this, identifying and involving main stakeholders is crucial. To set the outcome one must first identify stakeholders' concerns, translate that into possible positive outcomes, break it down into small achievable goals and create a plan to achieve it. An expected goal needs to meet the "SMART" criteria (World Bank, 2006). It needs to be Specific and clearly stated; it should be Measurable with qualitative and/or quantitative qualities; it must be Achievable, Relevant to the organization and address its needs; and must be Time bound with a start and end date.

Step 3: The outcomes are then broken down into Key Performance Indicators (KPI). This process should also involve main stakeholders to ensure that all concerns are being addressed and measured by these indicators, be it qualitative or quantitative. In some situations, based on resources and capacity, proxy or predefined indicators may be used although not recommended since it may lack the entities interest. According to Kusek and Rist (2004) "the more precise and coherent the indicators, the better focused the measurement strategies will be." To achieve a good performance, an indicator must be CREAM: Clear and unambiguous; Relevant to the subject at hand; Economically affordable at a reasonable cost; have Adequate basis to assess performance; and Monitorable in-order to be adaptable to independent validation.

Step 4: "Setting Baselines and Gathering Data on indicators". Baselines, derived from outcomes and indicators, are qualitative or quantitative data collected at the beginning of, or just prior to, the monitoring period. It is the first measurement of an indicator. To set a proper baseline, the entity should either gather primary data and set its own baseline; or find secondary data to measure against. Gathering primary data for each indicator can be trying and expensive. Although secondary data is cost effective and easier to attain, it's also data collected with other projects in mind so it may not be the best fit for the indicator. The entity should choose accordingly to best fit its project and be able to meticulously address each indicator. After setting the baseline Kusek and Rist (2004) recommend running a pilot to ensure that each indicator has an established source of data, data collection method, who collects data, how often data is collected, the cost and difficulty to collect the data, who analyzes data, who reports data, and who uses data.

Step 5: The final step of building the performance framework, also known as a logical framework, is "Target Setting". Targets are set based on outcomes, indicators, and baselines and are the interim steps on the way to a longer-term outcome. Target setting enables the entity to identify the target of the performance by identifying level of improvement desired. Target setting should involve key stakeholders and determine the desired level of improvement from the baseline indicator in a set time. It should consider its feasibility regarding the resource need and the overall goal and objective of the project. It should also ensure that the targets are realistic, flexible, broken down to achievable or interim level, and attend to details to finalize the performance framework. The performance framework becomes the basis for planning, budgeting, resource allocation, staffing, and so forth.

Step 6: Monitoring for Results entails Implementation and Results monitoring to achieve shared outcomes. Implementation monitoring is concerned with Inputs, Activities and Outputs while Results monitoring is focused on Outcomes and Goals.

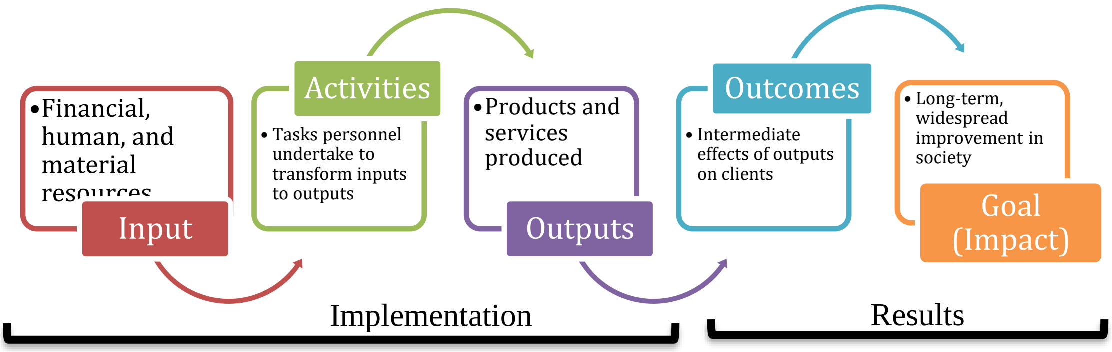

Figure 2.2.2-1: Results-Based Monitoring
Source: Adapted from "Ten Steps to a Results-Based Monitoring and Evaluation System" (Kusek and Rist 2004)

Organizations should identify the ownership and management of data by answering questions on who collects the data, what data is collected, how is it collected and how and for whom the data is reported. They need to ensure each outcome has an indicator, baseline, target, data collection strategy, data analysis, reporting plan, and identified users when building the monitoring system framework.

In addition, organizations need to assign accordingly to ensure the RBME systems maintenance, upgrading, modernizing, upkeeping, and managing the flow of data. Most importantly it should ensure the credibility, assure the reliability, validity, and timeliness of the data. Organizations should analyze and report on performance data often to minimize the guess work regarding what happened between specific measurements.

Step 7: Results monitoring alone is not effective for the RBME process; it needs a proper evaluation system to be complete. Kusek and Rist define evaluation as an assessment of a planned, ongoing, or completed intervention to determine its relevance, efficiency, effectiveness, impact, and sustainability by incorporating lessons learned into the decision-making process (2004). There are seven broad evaluation strategies, and all are effective depending on the entity's need of what and how to evaluate:

Performance Logic Chain Assessment evaluation address the rationality of achieving a desired change based on similar prior efforts and research literature. It determines the strength and logic of the causal model behind the policy, program, or project. It assesses present efforts with firsthand or secondary experience to ensure the current strategies plausibility

Pre-Implementation Assessment evaluation ensures that failure is not programmed in from the beginning of implementation. It addresses three questions prior to implementation:

"Are the objectives well defined so that outcomes can be stated in measurable terms?

Is there a coherent and credible implementation plan that provides clear evidence of how implementation is to proceed and how successful implementation can be distinguished from poor implementation?

Is the rationale for the deployment of resources clear and commensurate with the requirements for achieving the stated outcomes?"

Process Implementation evaluation studies the implementation process to aid in determining whether any mid-course correction is necessary to drive toward the stated outcomes. It addresses the following questions:

"What did or did not get implemented that was planned?

What congruence was there between what was intended to be implemented and what happened?

How appropriate and close to plan were the costs; the time requirements; the staff capacity and capability; the availability of required financial resources, facilities, and staff; and political support?

What unanticipated (and thus unintended) outputs or outcomes emerged from the implementation phase"

Rapid Appraisal enables a real-time assessment and reporting to decisionmakers with immediate feedback on the progress of a given project, program, or policy. It utilizes key informant interviews, focus group discussions, community interviews, structured direct observation, and surveys as its major data collection tools. Based on the situation the organization is evaluating, these methods are useful to produce the needed information at a relatively low cost than other formal evaluations and take less time. However, it is prone to individual bias, preconceptions, and the lack of quantitative data compromises the reliability, credibility, and validity of rapid appraisals. It is also difficult to aggregate the findings from multiple rapid appraisals since the data is relatively unique and the methods may vary from one application to another.

Case Study evaluation is used to gain an in-depth information to understand clearly what happened with a policy, program, or project. "There are six broad ways that managers can draw on case study information to inform themselves: (a) case studies can illustrate a more general condition; (b) they can be exploratory when little is known about an area or problem; (c) they can focus on critical instances (high success or terrible failure of a program); (d) they can examine select instances of implementation in depth; (e) they can look at program effects that emerge from an initiative; and, finally, (f) they can provide for broader understanding of a condition when, over time, the results of multiple case studies are summarized and a cumulative understanding emerges".

Impact Evaluation is the classic evaluation that attempts to attribute documented change. Timing is important in conducting impact evaluation. If done too soon or too late other factors may interfere in either a positive or negative ways with the outcome and may become enveloped in other emerging conditions and be lost. Thus, when possible, impact evaluations should be planned for before the intervention begins.

Another way of addressing the issue of attribution is to ask, "what would have happened if the intervention had not taken place?". This can be answered using both experimental and quasi-experimental designs and use of random assignment and control or comparison groups are the basic means of addressing this question.

Meta-Evaluation applies when multiple evaluations already exist thus to establish the criteria and procedures for systematically looking across those existing evaluations to summarize trends and to generate confidence in the cross-study findings.

There are multiple instances when evaluative information is essential. When a regular measurement of key indicators suggests a sharp divergence between planned and actual performance; performance indicators consistently suggest weak or no results from an initiative; resource allocations are being made across policies, programs, or projects; and similar projects, programs, or policies are reporting divergent evidence of outcomes.

There are six characteristics of a quality evaluation: impartiality to show all relevant information including strengths and weaknesses; usefulness, to mean it must be relevant, timely and presented in understandable format addressing the questions asked; technical adequacy to meet all relevant technical standards; relevant stakeholders should be addressed, consulted, and involved in the process; feedback and dissemination of information in an appropriate, targeted, and timely fashion; and lastly, the value for money of the evaluation needs to be comparative to the cost of the initiative.

Step 8: Reporting findings on performance data refer to comparisons to earlier data and to the baseline. Having the appropriate tools for reporting the findings and how to efficiently use those finding in the decision-making process is an important aspect to consider. This is determined based on what and how the RBME is set up, who is utilizing it, how is it going to be used, and to make what decision. Anything ranging from a Venn diagram to excel worksheet can be used to report findings for decision making but all depends on the number of data collected, the quality of the data, the system set in place and how the findings are going to be used.

To properly use findings from RBME, one must first know and target the audience and have a communication strategy that addresses who prepares and delivers the information; who will receive the information; and when and in what format should it be prepared. Data should be presented in clear and understandable form, succinct and relatable to the receiver. In the event of a bad performance news, the report should include explanations about the poor outcome and identify steps taken or planned to correct the problem.

Step 9: A good communication strategy is essential for disseminating and sharing information with key stakeholders and thus should be part of the RBME plan. A Results-based information should be shared with all internal and external stakeholders and interested parties.

Using findings is important in generating and sharing knowledge and learning within the organizations. Capacity development and sustainability of results comes from a monitoring and evaluation framework that generates knowledge, promotes learning, and guides action. Incentivizing the learning, knowledge building, and use performance findings helps staff and management take an active role and sustain the process.

Step 10: An RBME system is not a onetime effort, it needs to be sustained and utilized throughout the organization. To achieve this, the entity needs to examine the need of the system in the organization by the stakeholders; it needs to be well coordinated with proper communication channels, both vertical and horizontal and assign clear roles and responsibilities to all stakeholders. The organization must be adamant and persistent in gathering credible information; accountable to ensure no favoritism or bias occurs and that information is gathered and reported timely, accurate and focused to project goal. It needs to ensure proper availability of long-term capacity to process and procure data; and availability of incentives to sustain the system.

CHAPTER THREE: RESEARCH METHODOLOGY

This chapter will give a concise overview of the research paradigm, approach and design of the study and provides insight to the various methods and instruments used to gather and assess the information needed to answer the research questions. It will further describe the tools and techniques used to ensure validity and reliability of the data collected and the ethical measures taken by the researchers to ensure anonymity of concerned parties and privacy of participants.

3.1 Research Paradigm, Approach and Design

3.1.1 Research Paradigm

Research paradigm combines the understanding and belief of the researcher's nature of reality, what can be known about it and how to go about attaining this knowledge. It is a way of understanding the reality of the world and studying it (Rehman and Alharthi 2016). There are different types of research paradigm each with its own unique approach, but the most common ones are positivism and interpretivism. This study uses the latter.

An interpretivism paradigm aims to understand a social phenomenon in its context in greater depth. In interpretivism the researcher tries to learn the data patterns categorized under wide-ranging themes to understand a phenomenon and generate theory. Interpretive research does not try to "discover universal, context and value free knowledge and truth" but to recognize the interpretations of individuals about their social phenomena. Interpretivism derives its theory from data collection. (Rehman and Alharthi 2016)

According to Ponelis (2015) an interpretive qualitative is best suited in the emerging nature of research in small enterprises. It can yield a rich understanding of key issues and develop practical and theoretical understanding to generate new and alternative theories and concepts. (Ponelis 2015)

Therefore, this study will identify the challenges and implementation protocols of RBME in small not-for-profit organizations in Ethiopia via case study. Through the interpretivism paradigm the researcher can understand the underlying challenges of RBME implementation in its context. It will enable the researcher to articulate the actual experience of the case backed by theoretical concepts to fully assess and assert the challenges and proper procedure of implementation of RBME in the grassroot non-profit sectors in Ethiopia. Assessing findings in their true nature will aid the researcher generate a wholesome knowledge of the issues from the participants perspective. The research uses a single-case study on YLF's YEAB project, located in Addis Ababa, Ethiopia in the Nifas Silk Kifle Ketema. It uses the case as a unit of measurement to gain firsthand understanding of their experience along with the theoretical concepts set forth in Chapter 2 and create a conceptual framework.

3.1.2 Research Approach

There are two broad approaches to research, quantitative and qualitative approach. Researchers can utilize either of the two or apply a mixed approach with both qualitative and quantitative data. This study has a qualitative research approach, as this approach is the preferred method in an interpretivism paradigm since it enables the researcher to understand in depth the relationship of human beings to their environment (Rehman and Alharthi 2016). It also provides the researcher with rich information directly from the participants that delivers both insight and depth in its natural context (Nguyen 2015).

This study has a qualitative research approach to gain an in-depth understanding of the existing challenges local NGOs in Ethiopia face when adopting RBME. Through qualitative approach the researcher will be able to study the phenomenon through firsthand experience of the organization. It will provide the study an in-depth raw primary data on the organizational culture, mindset of the staff and overall objective of the organization during implementation and execution of their RBME system.

3.1.3 Research design

Creswell and Plano (2007) refer to research design as the ‘procedures for collecting, analyzing, interpreting and reporting data in research studies.” Yin (2018) refers to it as the link between the data collected and the conclusions drawn to the research questions.

Robson (2002) identifies three forms of research designs: exploratory, descriptive and explanatory. He clarifies by stating that the category is based on the purpose of the research area and serves varied end purpose.

Descriptive Research design provides explanations to problems by collecting a quantitative or qualitative data to establish relationships among variables; explanatory research is used to investigate an existing problem and clarify the exact nature of the problem to be solved; and exploratory research is used to increase the understanding of a certain subject, helps researchers to find a phenomenon that was not studied in depth. This study employs the exploratory research design.

Exploratory research is best used to gain a deeper understanding of a phenomena with few or no empirical reference and no pre-determined outcome (Akhtar 2016). Due to the lack of existing literature that pertains to small NGOs in Ethiopia on their challenges in implementing RBME, exploratory research is used to gain insight into the phenomenon.

Within the exploratory research design, this study utilizes a single case study method. A case study is best suited when addressing an exploratory question due to its ability to examine, in-depth, a case within its context (Yin 2004). According to Eisenhardt (1989), case studies can be used to provide descriptions, test theories, or generate theories. This study uses a single case study approach to gain an in-depth understanding of the underlying issues faced by these organization.

3.2 Population and Sampling

This section will cover the target and accessible population and the sampling methods utilized to identify the best suited case for the study.

3.2.1 Target Population and Accessible Population

Eisenhardt (1989) states that the concept of a population is important since it defines the set of entities the sample is drawn from for the research. In addition, it controls superfluous variation and aids to define the limits for generalizing the findings. (Eisenhardt 1989)

The target population for this study are grassroot NGOs located in Ethiopia; with the interest of implementing RBME and are struggling to adopt the RBME system. After an extensive literature review, the researcher noticed there is a lack in empirical study regarding the implementation of RBME in grassroot NGOs located in Ethiopia. The evident gap in empirical data led the researcher to conduct the study within this specific sector of NGOs and RBME.

The accessible target, subset of the target population accessible to the researcher, are those located in Addis Ababa. The accessible target was selected from the target population using the convenience sampling method. Convenience sampling is a non-probability sampling, a method where the selection of participants is based on their availability in terms of geographical proximity, known contacts, or other types of accessibility (Frey 2018). For this study, geographical proximity from the researcher was the parameters set to define the accessible target. The location of the organization was a deciding factor to enable the researcher to conduct the study in person through the course of the study.

3.2.2 Sampling Frame and Sample Design

In case study, a sample is selected based of the context of the study and attempts to present insight to a particular situation. Thus, the sampling technique mostly used for a single case study is non probabilistic since a case is selected purposefully to satisfy the criteria set by the researcher and the study. This study utilizes the non-probabilistic, purposeful sampling technique since it identifies and selects information-rich cases related to the study. (Bonache and Festing 2020)

There are various sampling strategies in purposeful case sampling, some examples include a unique case, revelatory case, critical instance case, cumulative longitudinal case, and comparative case (Sammut-Bonnici and McGee 2015). The different sampling strategies are used based on the type of study conducted, the nature of the case and the availability of empirical data. Since the researcher was unable to find empirical data as it pertains to the challenges of RBME implementation in grassroot NGOs in Ethiopia, a revelatory case was used to conduct the study. A revelatory case is used when the researcher has access to a new phenomenon that lacks empirical studies. In the context of Ethiopia and small NGO, the lack of data in RBME indicates that it’s still a new phenomenon that is not yet well investigated in the grassroot NGO sector.

According to Yin (2004), “generalizing from case studies reflects substantive topics or issues of interest, and the making of logical inferences (analytic generalization).” He further continues to explain that in case study, the researcher will need to conduct a formal case study screening procedure. He states that the willingness of key persons in the case to participate, the likely richness of the available data, and preliminary evidence that the case has had the experience needed, even if the case is to be a typical case, is a useful criterion to select a case. (Yin 2004)

The researcher set 6 criteria to ensure the case selected was in line with the study. The screening criteria used for selecting the case were:

1. Type of NGO?
   - Local community-based NGOs that started in the last two years
2. Location of the NGO?
   - To ensure its location is in Addis Ababa, at proximity to the researcher to conduct an in-person study.
3. The stakeholder’s willingness to conduct the study.
   - To ensure they are willing to share all required information.
4. Motivation to implement RBME for management and not funding?
   - To ensure there is a genuine want to implement RBME and not a superficial adaptation for funding. This is especially important for the credibility of data gathered. Superficial adaptation entails a facade of information to satisfy donors, thus lack of accurate data.
5. Actively pursuing the implementation of RBME?

- To ensure that there was an attempted to implement RBME, thereby to acknowledge a challenge or lack of.

6. Challenged by the implementation of RBME?
   - To identify the challenge factors that are associated with the implementation process.

These criteria were set by the researcher to ensure the sample will provide a credible information and the data collected pertains to the study.

YeAmlak Lijoch Foundation's YEAB project satisfied the criteria set by the researcher. Especially their attempt to implement RBME from the inauguration of the organization a year ago, and failed attempt to fully implement the system made it an ideal candidate as a revelatory case. The full-on commitment and enthusiasm from the top management to conduct the study was an added advantage to gain the information needed.

3.3 Data Collection and Analysis

Baxter and Jack (2008) state that case study research with a qualitative approach entails the investigator explores through detailed, in-depth data collection including observations, interviews, and documents to report a case description and case-based themes. This research has utilized multiple tools to collect qualitative data that are reliable. It has made use of both primary and secondary data. In this section the researcher will debrief how the study conducted its data collection and data analysis process.

3.3.1 Primary Data

Primary data was collected through focus group discussion and by means of formal and informal interviews with the internal stakeholders of YLF and YEAB project.

A focus group discussion was held with the Board Members of YLF. A discussion template was adapted from Kusek and Rist's 'Readiness Assessment tool' (2004) and modified to fit YLF. This was done to assess the organizational structure, the expectations of stakeholders, and overall readiness of the organization to fully implement RBME. The board members response from the focus group discussion was transcribed and provided to the board president to ensure accuracy of the information and to address any misconceptions.

An in-depth interview was conducted with YEAB's program manager and the board member in charge of Programs at YLF at different occasions. To gain full knowledge about the current M&E system and the challenges encountered, the interview was informal and unstructured. This enabled the researcher to gain an in-depth knowledge about the organizational culture, the current M&E system, the future goal, and overall aspirations of the organizations past, present and future. Most importantly the unstructured nature of the interview ensured that the researcher got an insight as to why RBME was unsuccessful from their perspective without any leading or implications from the researcher. This was followed up with emails and phone calls to ask follow-up question that arose during the transcription process. After transcribing the interview, the transcript was emailed to both the program manager and the board representative, respectively, to ensure data accuracy and validity.

Formal, structured interview was also conducted with both the program manager and board representative after the assessment of secondary data to ask follow-up questions and clarification for some misconception. The transcribed data was emailed to the respective interviewee to ensure accuracy and validity and followed up with emails and phone calls for clarifications.

3.3.2 Secondary Data

Various documentations pertaining to the study were provided from YLF to aid in the assessment of the study.

The M&E plan was examined to identify the current logical framework and assess the formulation of its objective, input, activity, output, outcomes, and impact of the project; understand the current M&E system, identify factors that relate or derail from the inferred RBME system and to compose follow-up questions to address with the program manager at the structured formal interview.

Previous reports, board reports and reports from the health centers, format and content was examined to understand the requirements of the entities asking for reports and the details of information provided. This too was used to as a source for follow up questions in the structured formal interview held with the program manager.

The memorandum of understanding signed with the various Health Centers and the Woreda was also reviewed to understand the requirements of recipients and how to best address expectations. In addition, data collected by YLF prior to starting the program was assessed to identify prospective baseline data. Findings from all the secondary data source was properly denoted and verified with the program manager before proceeding to further data analysis.

3.3.3 Data Analysis

A case study is analyzed through iterative process to identify causal links within the case. “It starts with the initial theoretical statement and follows with the comparison of findings, comparison to other cases, and revision of the theoretical statements.” (Sammut-Bonnici and McGee 2015)

According to Yin (2009) in case study there are five data analysis techniques: ‘Pattern Matching, Explanation Building, Time-Series Analysis, Logic Models and Cross-Case Synthesis’. These techniques fall under four general strategies: ‘relying on theoretical propositions, developing a case description, using both qualitative and quantitative data, and examining rival explanations (Yin 2009). This study uses the ‘relying on propositions’ general strategy with the modification of using research questions instead of proposition and the ‘explanation building’ techniques.

According to Yin (2009) relying on propositions, or research questions for this study, to analyze data will help focus attention on significant data and ignore the rest. Yin (2009) states that this strategy will help organize and guide the case study. Thus, the analysis strategy for this study was to collate data based off the research questions of the study focusing on the challenge factors encountered and implementation procedures followed. This helped to utilize data as it pertains to the study and analyze it as such.

The researcher continued the analysis by applying the Explanation Building technique. According to Yin (2009) Explanation building entails analyzing by building an explanation about the case. He further elaborates that even though this technique is mainly for an explanatory case, it’s also used in exploratory cases as part of hypothesis-generating process to develop ideas for further study. Yin (2009) further clarified that “to explain” a phenomenon is to stipulate a presumed set of causal links about it, or “how” or “why” something happened.”

For research question “What are the challenge factors of implementing RBME in a local NGO in Ethiopia?”; challenges of RBME implementation in a developing country identified on the qualitative research conducted entitled ‘Implementing Results-Based Management in the Public Sector of Developing Countries: What Should be

Considered?' (A. and G. M. 2014) was used as a guideline. It helped to understand YLFs experience by building an explanation of the cause and effect as it relates to the concept set on the theoretical finding.

For Research Question "What are the procedures to ensure successful RBME implementation in a small NGO in Ethiopia?"; Kusek and Rist's 'Ten Steps to Results Based Monitoring and Evaluation' (2004) guidebook was used to evaluate the implementation process YLF followed. The data collected was matched with the research question and the explanation building technique was applied with the well-defined steps from the book to assess proper implementation of RBME or lack thereof.

3.4 Credibility and Validity

According to Baxter and Jack (2008) to ensure credibility and validity of a case study a researcher must ensure: (a) the case study research question is clearly written and the question is substantiated; (b) case study design is appropriate for the research question; (c) purposeful sampling strategies appropriate for case study have been applied; (d) data are collected and managed systematically; and (e) the data is analyzed correctly.

This research has a clearly written research question. The lack of prior research on RBME implementation and its challenges in grassroot Ethiopian based NGO is evident for the need of an inductive study. Considering the apparent need for an RBME system globally, this study will contribute to ease the challenges faced by local NGOs in the adaptation process.

Exploratory single case study design was implemented to gain a deeper understanding of the phenomena that lacks in empirical findings. It used a non-probability, purposeful sampling method and ensured that the case had met all the parameters set forth by the researcher. The parameters set were carefully designed to ensure the case had all the elements as it pertains to RBME implementations. The selected case was treated as a revelatory case due to lack in empirical data that necessitates a revelatory case to unveil the phenomenon under study.

The researcher collected both primary and secondary data as it pertains to the study. The researcher used focus group discussion, structured and unstructured interviews and various documentations from the organization to assess their system. Group discussions and interviews were properly transcribed by the researcher and revised by the source to ensure that the data was accurate, various phone calls and emails were exchanged to clarify vague concepts and misconceptions. In addition, various articles, research, and other literatures were reviewed to gain a broader insight into the subject and gather theoretical concepts as it applies.

In-order to properly analyze data, Yin’s (2009) ‘relaying on propositions’ general strategy was used to categorize findings into research questions and explanation building to the how and why of the research questions. Thus, triangulating findings with empirical data to ensure credibility.

3.5 Ethical Considerations

Ethical Considerations is one of the most important part of a research to ensure that each participant has full consent to participate, is treated with respect and dignity, and is not in harm’s way whatsoever.

For this study, proper introduction was forwarded, and consent received from all parties prior to both focus group discussions and interviews; permission was obtained prior to making phone calls and sending emails and preferred time and method of contact was discussed.

This study does not disclose the name of the participants due to request for anonymity. And due to prior agreement with the organization, documents obtained from YLF and both FGD and interview transcripts are not disclosed in the appendix but are inferred in the findings.

In addition, all materials and literatures that are not an original thought of the researcher are properly attributed and cited accordingly to avoid plagiarism, and to properly acknowledge the source.

CHAPTER FOUR: RESULTS AND DISCUSSION

This chapter will begin with the demographic data on the respondents of the study and continue to present the results and discussion of the study. It begins by answering research question one through comparison of findings with the theoretical concepts from "Implementing Results-Based Management in the Public Sector of Developing Countries: What Should be Considered?" (A. and G. M. 2014) and research question number two with Kusek and Rist's (2004) five crucial factors for effective RBME system: formulating outcomes and goals; selecting indicators to monitor; gathering baseline information; setting specific targets; regularity of data collection; and analysis and report of results. Lastly it will present the delimitation of the study and a conceptual framework constructed from the findings of the study.

4.1 Response rate and Demographic data

The researcher used various methods in line with case study methodology to collect data. For primary data, the researcher used Focus Group Discussions and Interviews. The response rate and demographic data is as follows:

4.1.1 Focus Group Discussion

A focus group discussion was conducted with the board members at their monthly meeting. The board of directors is composed of nine individuals subdivided into four committees based on their roles and responsibilities. The board president over sees the overall organizational progress and ensures the remaining four committees are partaking and actively committed to their roles. The remaining four committees are Finance, Programs, Fundraising and Volunteers. Board members are assigned to the various committees based off experience and interest. Each committee is responsible for its role and reports on said sector at each board meeting. Everyone partakes in the decision making after considering the recommendations of the sector representatives.

BOD Roles and Responsibilities	
Finance	1
Programs	1
Fundraising	3
Volunteers	3
President	1
Total	9

Table 4.1.0-1 BOD Roles and Responsibility
Source: Own Survey 2021

Over 50% of the BOD members have a master's degree in different disciplines, 33% have completed their undergraduate degree and one has a PhD.

BOD Education Background		
Bachelor	3	33%
Masters	5	56%
PhD	1	11%
Total	9	100%

Table 4.1.0-2 BOD Education Background
Source: Own Survey 2021

Majority of the Board Members are women, marking over 60%.

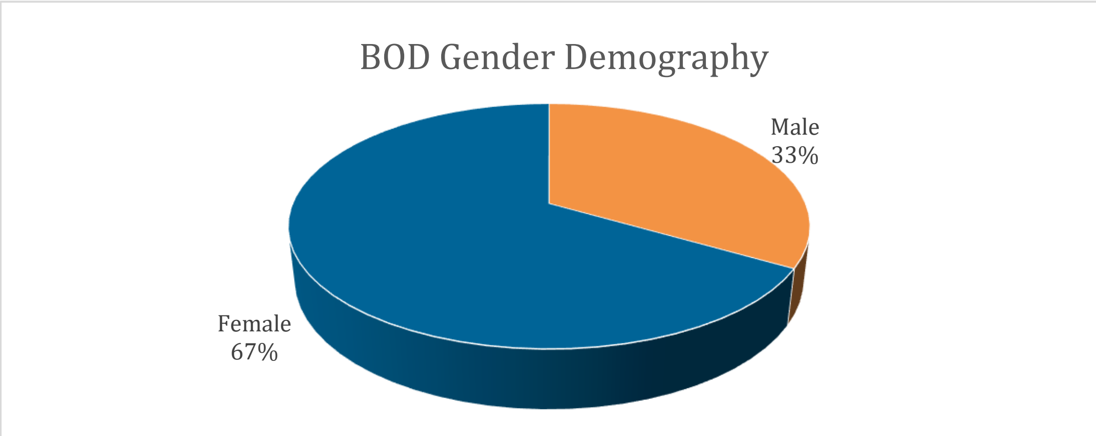

Figure 4.1.0 -1 BOD Gender Demography
Source: Own Survey 2021

The age distribution of the board ranges between 31 and 60 years of age. Of the nine members, 56% of are in the 41 – 50 age group, 33% are in their thirties and only one member is over 50.

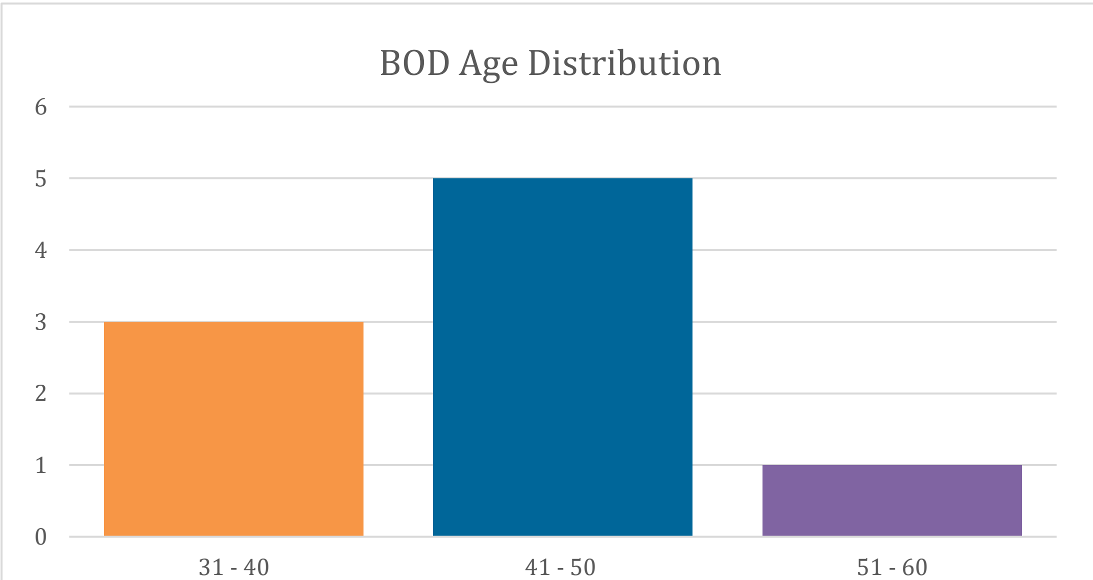

Figure 4.1.0-2 BOD Age Distribution
Source: Own Survey 2021

4.1.2 Interviews

Both structured and unstructured interviews were held with the program manager and the board member responsible for programs. Both are women, between the age of 31 –

40. They have both completed their undergraduate degree, and the board member has a master's degree in public health.

The house mother that oversees the women at Ye'Mariam Aras bet is a high school graduate, between the age of 31 – 40 and has a family of her own living on site. Although she has not attended college, she has taken various trainings provided at the site and has a personal experience that aides in the mentoring of the women enrolled.

4.2 Challenge Factors of RBME

According to the 2014 "Implementing Result-Based Management in the Public Sector of Developing Countries: What Should be Considered" by Pazvakavambwa A. (D Ed Student) and Steyn G. M. there are two main categories to challenge factors that need to be considered specially in implementing RBME in a developing country; organizational and technical challenges. Although their research is based on public sectors, YLF has a similar experience in the implementation and execution of RBME.

4.2.1 Organizational Challenges

Organizational challenges are those encountered by the organization prior to implementing RBME to foster the right climate. The research mentions ten common organizational challenges.

1. *Change in organizational culture* was not a challenge factor for YLF. Since it's only been active for the last year with the precedence of employing RBME, staff and board of YLF did not resist its implementation.
2. *Importing models of RBM*: YLF is currently trying to employ RBME as portrayed in the developed world. They did not properly adapt the model to fit their organization. This led to a complicated logical framework that is hard to follow and

apply; and a complicated reporting formats to meet a status quo led to eventually adapting a traditional M&E system. Lack of adjusting the system to fit the organization led to an overwhelming pressure to revert to a tradition M&E.

3. *Lack of incentives* at both organizational and individual level is a challenge that YLF is currently working facing. According to the project manager their current incentive is witnessing the change in a person's life firsthand. This has a counter effect by incentivizing helping more people versus spending the money to set up and maintain the RBME system.
4. *Setting unrealistic expectations:* for YLF setting indicators is a challenge on its own. Although they have a logical framework, they have not set any indicators to measure their outcomes. This is one of the main challenges YLF is currently facing to fully implement RBME.
5. *Failing to get buy-in* and use of the system due to the financial constraints is also another challenge YLF is currently facing. Both staff and board feel RBME is a great tool to manage a project and aspire to measure their outcomes and impact they are making in the community. None the less it also a costly system and would prefer to invest the money towards helping more beneficiaries instead of a system. The project manager stated that they cannot justify spending it elsewhere when there are so many women in need. Even though they are aware that implementing RBME would open more funding, the project manager stated that it is not a guarantee "but the life we are changing in front of us is." She continued that this was one of their main reasons for trying to implement the system themselves, in order to cut costs but are currently looking for a volunteer.
6. *Lack of expertise and experience*: Currently YLF doesn't have any staff or a board member that has the expertise or experience to implement RBME. They are

attempting to self-educate and implement the system with their best foot forward but is not sufficient to fully set it up and running properly. This has created a superficial adaptation with a logical framework and an impact statement but not enough to where it is still producing solely output reports and is not monitoring for impact.

7. *Setting outcome expectations*: YLF has yet to set indicators and baselines prior to setting their outcome expectations. This is yet to be addressed.
8. *Selecting relevant performance information* comes with experience. Currently YLF is solely using input, activity, and output data to assess and report. Since it has yet to employ RBME fully, it has not faced the overflow of data that occurs due to the system.
9. *Goal displacement* that can occur when faced with unrealistic expectation is not a challenge currently faced by YLF. Due to their size and lack of external pressure they are currently setting their own goals and expectations based of their own merits and taking their budget and capacity into consideration.
10. *Taking accountability for outcomes:* since they are currently just measuring output, this too is not a challenge yet faced by YLF.

4.2.2 Technical challenges

A. and G. M. (2014) identified seven major technical challenges, those encountered due to the expertise required to measure and report information.

1. *Developing meaningful measurement of outcomes by identifying clear objectives*. Although YLF was able to follow proper protocol to develop outcomes for their objectives in the YEAB project, as stated earlier it lacked proper use of KPIs and

setting baselines to measure against. As afore mentioned, this was due to the lack of know-how on how to properly establish and link KPIs.

2. *Developing accurate measures of performance and providing an efficient system for data collection* is another factor. The YLF planning staff have an efficient system for both project and financial data collection. They have data on budget, output, outcome, performance audits from governmental agencies, financial audits, project, and program completion reports available to them but lack the needed expertise to process the data to measure performance. It is currently measuring activities and output of the objectives.

3. *Attributing outcomes to actions by showing that such results are the outcomes of specific interventions of an organization and not of any other factors.* YLF has not set up key performance indicator (KPI) to measure its outcome, thus cannot attribute it to any action. They have attributed outcomes to outputs but lack the KPI to ensure its validity and reliability. Thus, with the current system, YLF cannot for sure implicate any result as an outcome of YEAB project.

4. *Linking financial and performance information to establish what the costs of the results of a particular program entail* is another technical challenge most developing countries face. YLF is currently successfully linking their financial data to their activities and outputs but do not produce a results-based report. Although they can quantify the financial requirement of the project, they still lack in showing results of the monies spent.

5. *Poor quality of data and information in governments and the risk of making inferior decisions based on such data* is another challenge identified. This is true to YLF as well, especially since they are working closely with various governmental bodies like the Nifas Silk Health Centers and the Nifas Silk

Woredas, who are auditing and following up with YEABs progress, they are not providing a result centric audit or acknowledging the impact of the project. Thus, data collected from the various governmental sources are not a reliable source for the RBME system YLF wants to employ but is currently used for decision making due to the financial constrain to gather or produce other source of information.

6. *Lack of resources for appropriate training and support of practitioners' knowledge* is one of the main challenges YLF is currently facing. The board president disclosed that there has not been any training in the past nor are they planning any in the near future because it is too expensive. She added that they had looked into possible volunteers with capacity to set up and train the staff in RBME but have not been able to recruit one with the right caliber.
7. *Lack of sufficient funds for employing RBM altogether*. YLF doesn't have the needed funds to implement RBME but aspires to make it by self-educating and recruiting volunteers to help along the way. The board president said that "All we need is someone to give us a leg up to adapt the system to YLF".

4.3 Assessment for RBME

According to Kusek and Rist (2004) the crucial factors in building an M&E system is to formulate outcomes and goals, select outcome indicators to monitor, gather baseline information on the current condition, set specific targets to reach and dates for reaching them, regularly collect data to assess whether the targets are being met and to analyze and report the results. They further state that although there are many procedures and concepts behind the implementation of RBME these factors remain constant. Following the researcher will discuss YEAB's current system and build an explanation as to how it is effective or lacking as compared to these crucial factors.

4.3.1 Formulating Outcomes and Objectives

Prior to starting the YEAB project, YLF conducted a field study to assess the needs and requirements of homeless mothers and soon to be mothers and how to better serve them. Through their study they collected primary data from nearby health centers to understand the core issues they face when they have homeless women come to give birth; conducted interviews with homeless mothers and soon to be mothers to assess their needs and possible means of getting them off the streets; and secondary data from various governmental organization, including Ministry of Women, Children, and Youth to understand how deep rooted the problem is and determine how YLF can be a support system to help in this matter. They used their findings from their study to create a project and customized its services with the need of the community to ensure that YLF can be a significant part of the solution in this sector. They used the data collected to formulate their outcomes and set their objectives as a guideline for their project and agreed upon the impact they want to make in the community.

Kusek and Rist (2004) describes this process as Step 2 to the ten steps to RBME. They state that all possible stakeholders need to be involved in setting the objectives of the project and ensure their needs are met. YLF did just that by involving external stakeholder through their field study and internal stakeholder through the decision-making process of formulating their outcomes and setting their objectives.

YLF did not properly utilize the SMART guideline (World Bank, 2006) in their objective setting. Of the six objectives from YLFs Logical Framework and in comparison, to the SMART guideline for setting goals; the objectives set are specific in terms of services it plans to provide but it doesn’t disclose a clear picture of its quantitative objective; all six are measurable, achievable, and relevant to the service they are providing but out of the six objectives set only two had a start date and none were time bound. This was caused due to the lack of knowledge in setting goals, even though the proper protocols were follower, their formulation makes it difficult to monitor and later evaluate the objective based of the parameters they provided.

4.3.2 Selecting Outcome Indicators to Monitor

The selection of outcome indicators, key performance indicators, is what Kusek and Rist (2004) consider Step 3. This step involves main stakeholders to ensure all concerns are being addressed and measured by indicators chosen, be it qualitative or quantitative. They further suggest that an indicator must be CREAM: Clear and unambiguous; Relevant to the subject at hand; Economically affordable at a reasonable cost; have Adequate basis to assess performance; and Monitorable in-order to be adaptable to independent validation.

Unfortunately, YLF has no knowledge about KPIs or how to formulate an indicator. They are more focused on how they can achieve their objectives from their inputs and activities towards their output in accordance with their objectives. Upon further assessment of their logical framework, the researcher found various potential KPIs that are listed under outputs. With some adjustments, YLF can apply these KPIs to monitor their projects. The prospective KPIs listed as output also follow the CLEAR guideline set by Kusek and Rist (2004).

4.3.3 Gathering Baseline Information

According to Kusek and Rist’s (2004) Step 4, the entity should either gather primary data and set its own baseline; or find secondary data to measure against. As mentioned before, prior to inaugurating the Aras Bet project, YLF gathered primary and secondary data from various sources directly involved with the project they had in mind. They had surveyed Health Care centers in the Nifas Silk area, they had talked to the Ministry of Women, Children and Youth regarding the issues of the homeless mothers and expecting mothers, they had interviewed various prospect beneficiaries of the project to assess their needs. Although their intentions behind this survey was to customize their project to best fit the need of the community, it is also a useful primary data at hand that can be used to set baselines.

Kusek and Rist (2004) state that the entity should choose accordingly to best fit its need and be able to meticulously address each indicator. YEAB's project manager mentioned that "The data we have, but we don't have the means or know how to transform it to a baseline" she followed with explaining how they had tried to use it in the past but were not successful due to lack of knowledge to build the system and that that was a real challenge.

4.3.4 Setting Specific Targets

Setting specific target is Step 5 on Kusek and Rist's (2004). They refer to this step as the final step of building the logical framework. It is a process that identifies the desired level of performance by identifying improvements from the baseline to occur over a set time.

Unfortunately, YLF has not set any targets, but they have set an agreed upon quantitative figure they aim to achieve over their three-year contract with the Health Care Centers. These objectives are to be measured from their outputs, but with no baseline to measure their performance against and lack of KPIs signifies they have no assigned unit of measurement to ensure they are achieving their desired outcome.

As mentioned by the board president, there is no way of ensuring their goals are being met since they only monitor their outputs. Thus, they can only be sure that their services are being utilized but they cannot know the extent their services effects their goals or the impact it is making. She further stated that this was her reason to attempt implementing RBME, in-order to ensure that the project was performing towards making an impact, but lack of know-how and resources is what is prohibiting the full implementation "we are currently working towards building our capacity to help those in need and the cash left over is not enough to hire a professional". She further added that she is aware that implementing RBME would open doors to international donors and increase funding opportunities but "the question of the chicken or the egg" is what is delaying the system. All monies received is currently spent on providing the much-needed services and investing on implementing RBME, although is desired, lacks the full support of the board due to the high demand of their services.

YLF has a working performance framework that was implemented at the beginning of the project. Although it has all the basic items that constitutes a logical framework, it lacks in clarity and ease of understanding. It's not well categorized, broken down or set up in a format that is easy to follow. There is a lack of understanding RBME terms and concepts like goals vs objectives, activities vs outputs etc. In order to ease the formulation, the researcher has provided a working example of a logical framework in the Appendix that is easy to apply and follow through.

4.3.5 Regularity of Data Collection

Kusek and Rist (2004) state that the regularity of data collection for monitoring for result and a proper evaluation system is required for the system to be complete. This entails, various process and procedures the organization should follow to attain quality performance data; like who, when and how to collect, process and report data and for whom to report (Kusek and Rist 2004).

Currently, YLF's data is collected through various forms, activity reports, interviews, focus group discussion, observation, and financial reports. They collect forms from the Health Centers, like the intake forms with beneficiary information, donation inventory receipt forms that disclose what and how much was donated to the Health Center and recipient receipt forms that discloses which beneficiary took what. These forms are collected by the project manager on a regular basis. It pertains to inputs, activity, and output of the project. Data from these forms is processed and reported to the board monthly.

They gather information from current beneficiaries through a focus group discussion conducted by the program manager. This discussion relates to the services provided or lack of in-order to improve where needed and adjust what's not working. These group discussions are held monthly with the project manager and the house mother. It is later transcribed and reported to the board.

When able, the program manager contacts previous beneficiaries of the project and conducts a follow up site visit at their current home. The project manager would take pictures and observe the overall situation of both mother and child and conduct an interview with the mother to assess her current condition. Interviews are transcribed and pictures are documented and reported in a story-telling format to the board and added on their Telegram channel for concerned donors and interested parties. The YLF program team also collects financial expenditure data regarding the project at all levels through a formal chart of account and reported at board meetings.

According to the project manager of YEAB, the challenge is that since she is the only administrative staff in the YEAB project, it's hard to manage her time for everything that needs attending. With the dire need to manage the program, the women, and their children that come into the program on a regular basis, "there is not enough hours in the day' to regularly collect and process the data. She also stated that she lacks the expertise to process the collected data for it to be result centric, thus she is currently just monitoring based on inputs, activities, and outputs.

Although data collection is not done on a set schedule, the data that is collected and analyzed is used to track project outcome in addition to being used to assist decision making in planning M&E activities. YLF compares planned project activity schedule against actual schedule to determine project schedule performance, and planned project outputs against actual delivered output to monitor progress.

4.3.6 Analysis and Report of Results

This is Step 7 and 8 in Kusek and Rist (2004) Ten Step to RBME handbook, monitoring for results and finding the appropriate tools for reporting the findings; and how to efficiently compose those finding for decision-making. They state that monitoring for result is a combination of implementation monitoring and results monitoring. Anything ranging from a Venn diagram to excel worksheet can be used to report findings for decision making depending on the number of data collected, the quality of the data, the system set in place and how the findings are going to be used.

The project manager is efficient in MS Excel thus uses it to process and report her findings to the board and other concerned stakeholders. As afore mentioned, storytelling format is used to report on former beneficiaries, transcripts of the focus group discussion with current beneficiaries are processed both qualitatively and quantitatively on excel sheets to be reported and a formal project centric chart of account is produced by the financial team of YLF for board reports and to other concerned parties. Currently YLFs monitoring for results constitutes of only implementation monitoring. It is physical progress monitoring, technical monitoring, and financial monitoring and doesn't constitute impact monitoring, which is vital in the RBME system. Their system is solely based of input, process, and outputs.

Of the seven broad evaluation strategies mentioned by Kusek and Rist's (Ten Steps to a Result-Based Monitoring and Evaluation System: A Handbook for Development Practitioners 2004), YLF has used the Pre-Implementation Assessment, Process Implementation Evaluation, Rapid Appraisal, and Case Study.

As afore mentioned, the organization conducted a field study prior to the inauguration of the project to ensure there is an actual need for the project. The pre-implementation assessment was able to produce a well thought out objective, outcome, and impact of the project, ensured that there is a need for assistance from the demography and ensured there are external stakeholders willing to facilitate those services. None the less, the assessment lacked in guaranteeing there was enough staff capacity and/or resources to ensure the proper implementation of the result centric monitoring and evaluation system.

Process implementation evaluation at YLF is executed by monitoring the physical process; planned project activity schedule against actual schedule to determine project schedule performance, and planned project outputs against actual delivered output to monitor progress. This monitoring structure directly feeds to the evaluation process to ensure the implementation process is going accordingly and imply any corrections if needed.

Rapid Appraisal is used to ensure the project is providing the needed aid to the recipients. The house mother conducts various unstructured focus group discussion and interviews with the recipients to ensure their needs are met and reports back to the program manager. Both the house mother and program manager also observe the day-to-day activities to assess what is missing and how to ensure it is provided. The program manager reports the findings to the board monthly. If there is a dire need then the board member in charge of programs will be notified to take the proper measure and inform the board for a quick response.

Case studies are used to report on offsite recipients and graduates of the program. The program manager conducts site visits to their respective homes and collects data for the case study. Each individual is treated as a single case, thus multiple case studies are conducted using pictures and interview transcripts as a means of verification and reported back to the board. This information enables the board to assess the program and identify what is working and where adjustments are needed.

Even though impact evaluation is the classic evaluation strategy that attribute documented change, it is not conducted at YLF. Due to lack of know-how and capacity of staff they are unable to evaluate for impact. This is a major setback in the RBME system since impact evaluation is the very reason to implementing a RBME system.

Although there is a genuine want for a RBME at YLF, its lack in staff, capacity and funding is not enabling to engage in an effective system. It is collecting data from all concerned party but is not properly developing said data to monitor and evaluate in the results-based context. Its current system is just an overview of numbers that address clients that are getting help from YLF, and overall usage of the service without taking its effect into account.

4.4 Delimitation of the Study

YLF is a broad organization that has subdivided its services into 4 pillars, currently its focus and work is concentrated on Pillar 1: Ye'Amlak Aras Bet (YEAB) Project. Thus, the study only focuses on the said project and does not address the organization.

This study is only the assessment of the existing M&E system at YLF as compared to their envisioned RBME system. It only proposes recommendation but does not go further into implementing those recommendations nor report on its outcome.

A proper M&E system should include monitoring assumptions and risks, and is as important as the other results, but the study will not include these due to time constraint.

Given the time scope of this study, primary data from other stakeholders, such as Government offices, Nifas-Silk Lafto Kifle Ketema (NLKK) Administration, ten health centers in NLKK, Ministry of Women Children and Youth, and implementing partners of the organization is not collected by the researcher during this study but is used as a secondary data based on its avail at YLF.

Yamlak Lijoch Foundation is a grassroot startup NGO, findings and recommendations from this research will only be applicable to NGOs in the same parameters.

All data collected is qualitative data and is composed of various finding from previously written literature, primary and secondary qualitative data from previous YLF reports and through the means of interview and focus group discussions held with various stakeholders of YLF. Thus, limiting the generalizability of the research's findings as a wholistic reality of local NGOs and can only pertain as a reference for an in-depth understanding of the phenomenon.

4.5 Conceptual Framework

According to this study, both the theoretical concepts from literature review and the research findings indicate that a successful implementation of RBME is reliant on availability of resources and capacity. This is a growing concern for entities in the developing world since they lack in both resources and capacity, thus proving the dependency. Successful adoption of a RBME system is dependent on the amount of financial resource avail to the organization and the capacity of the staff. This is depicted on figure 4.6-1 below. The study further analyzed this relationship to show that capacity alone cannot ensure a successful implementation of RBME since it also requires financial resources for a smooth progress, thus making it a mediating variable in between the two. A secure financial resource can assure successful implementation by providing the right capacity to guarantee a smooth adaptation.

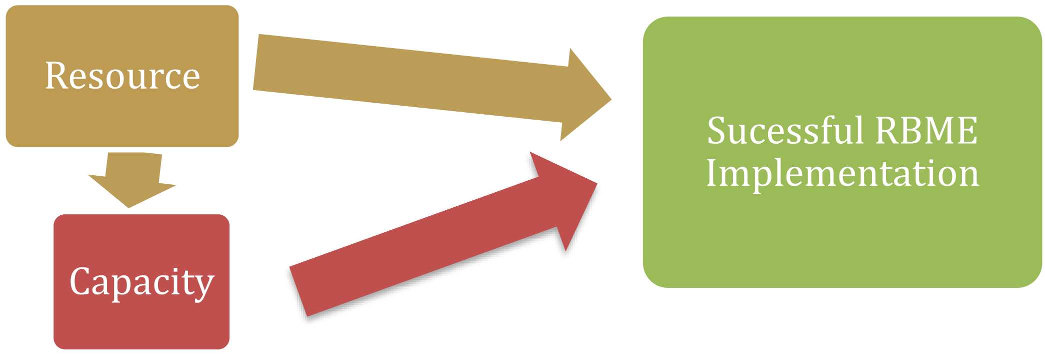

Figure 4.5-1 Conceptual Framework (Research finding)

In summation the relationship between the three variables is as follows:

- Successful RBME implementation is a dependent variable on Resources and Capacity
- Capacity is a mediating variable, and
- Resource is an independent variable.

CHAPTER FIVE: SUMMARY, CONCLUSION, AND RECOMMENDATIONS

As the final chapter of the study, the summary of findings and the conclusion will be presented respectively. Recommendation from the study and suggestions for future study will follow.

5.1 Summary

Implementation of RBME in a local grassroot NGO in a developing country is not a necessity, especially if the NGO is not required to produce a result-based report or plans to acquire funds from international funders. Although this is true, RBME is also a great tool to manage and account for the results of any project, program, or policy. Managing for results entails accounting for funds utilized by the impact it made on the community. NGO's like YLF are aspiring to implement a RBME system for this reason.

The 2005 Paris Declaration made RBM a vital managing tool to ensure aid effectiveness. Most international NGOs in Ethiopia are mandated to use RBME to manage and report on the impact of their funding to their funders. Fortunately, internationally funded organizations also have the financial resource to implement and maintain their RBME. The financial resource also provides the needed capacity to train and recruit the right candidates for the system. This doesn't stand true for grassroot local NGOs that have the aspiration to manage for results due to the high demand of the system both in capacity and finance.

The study was able to identify various challenge factors that relate to a developing country categorized as technical and organizational challenge (A. and G. M. 2014). Both categories identified resources and staff capacity as the main hindering factors of

RBME implementation. Taking the case of YLF's YEAB project, both factors were identified and proved as such that the lack of adequate staff/capacity and resource is the main factor the implementation of RBME was unsuccessful. A board member from YLF mentioned that there is also a lack in RBME oriented and well-versed staff availability. Adding that "not only is it too expensive to hire but the first struggle is finding one."

To ensure a successful RBME system implementation, Kusek and Rist (2004) identified five critical concepts. They further broke it down to a ten-step overlapping process. These steps guide and prepare an organizations program or project to accomplish a successful implementation of RBME. Although the steps are self-explanatory, it still requires capacity to translate the written process into an applicable action. As mentioned by Kusek and Rist (2004), RBME is an ongoing process that requires resources to run smoothly. The program manager of YEAB project addressed the lack of resources from the perspective of the high demand for the service, that it doesn't allow room for finances towards RBME implementation or training. She added that as a developing country with so many in need, it is hard to justify spending towards a system vs the people. She further added that the question of the chicken or the egg is the dilemma NGOs face.

The study was able to formulate a conceptual framework that was a product of the findings. Proper implementation of RBME is dependent on two main factors: Capacity and Resources. With the right capacity, the organization can implement RBME with ease but will need financial resource to back it up. Provided that the organization has enough financial resource, it can implement RBME with ease by attaining all the necessary capacity financially and by providing the needed financial backing for data collection and processing. This entails that although successful implementation of

RBME is dependent on both Capacity and Resources, Capacity is also a dependent factor on Resource to provide a smooth RMBE system. As shown on Figure 4.6-1, ‘Successful Implementation of RBME’ is dependent on Capacity and Resources; Capacity is dependent on Resources; and Resources is the only independent factor in the mix.

5.2 Conclusion

This study has made use of theoretical concepts from literature available and findings from the case of YLF’s YEAB project to identify the challenge factors that hinder the process of RBME implementation in Ethiopia. It has identified capacity and resource as the main challenge in successful implementation of RBME. In order to overcome these challenges, NGOs need to understand the underlying demands of a RBME system and prioritize accordingly. A result centric system is an ongoing process that is high in demand of resources and capacity to maintain and sustain the system. As stated by a board member at YLF, although a result centric reporting system opens many doors for more funds, it is not a guarantee. This entails organizations need to first prioritize and budget accordingly to ensure its feasibility prior to implementation.

The world bank published, Kusek and Rist’s ‘Ten Steps to Results Based Monitoring and Evaluation’ (2004) guide provides direction to a successful implementation process of RBME well into reporting and maintaining the system. Although it’s a well self-explained step by step procedure, it still requires certain know-how and idea to implement the written step into applicable action. In doing so it’s still important to maintain the need of the organization and its requirement. A. and G. M. (2014) also identified that lack of capacity doesn’t stem only from lack of resources but also due to the iron fist implementation push of a western based system that doesn’t fully understand the ethics, culture, and internal priorities of a developing country. Thus, the need to understand the system and its challenges is important to adapt it in a developing country structure to best fit the context.

5.3 Recommendations for the Practitioner

Based on the findings of the study, following are the recommendation for the practitioner to aid in a successful adaptation of a RBME system. As discussed earlier, RBME implementation is an ongoing process that demands capacity and resources. To overcome the challenges of this process the researcher has a few recommendations. Local grassroot NGOs in Ethiopia that currently aspire to implement a RBME system to:

1. Guarantee you have a restricted fund or funding source for a RBME system prior to implementation.
2. Reach out to universities nearby that provide a RBME class to incorporate creating a system into their programs to provide pro bono services via students to grassroot NGO's.
3. Contract an experienced consultant or recruit an able volunteer with the capacity to build an RBME system and provide training for all involved stakeholders. This will be a one-time cost that will ensure proper implementation and the training will help to equip staff to sustain and maintain the system when needed.

The researcher's recommendation for YLF's YEAB project to continue with the current system without any additional funding need is to make a few adjustments in accordance with Kusek and Rist's ten steps:

1. Readdress current outcomes and set agreed upon CLEAR KPIs to properly account for results.

2. Use the previously assessed survey outcomes and secondary data to set baselines for the KPIs. This will be the benchmark for performance monitoring. Set a desired level of improvement from baseline to monitor against safeguarding target is realistic and flexible in case of any need for adjustment.

3. Schedule frequency of data collection, assign who will be responsible for the task and what information and from where it needs to be gathered ensuring it aligns against the set baseline.
4. Reformat current Logical Framework by separately accounting for each outcome to clearly depict project structure, including its respective indicator, activity, and output alongside perceived impact. A proposed format attached in the Appendix. This format gives a clear picture of each outcome, the process to reach the outcome and the perceived impact from the outcome.
5. Create a uniform reporting format for monitoring and evaluating performance that measures against the set baseline and includes past, current, target, and long- term goals alongside. This will aid in future planning, decision making and resource allocation by clearly displaying both progress and regression. An example of an excel spreadsheet attached in the appendix.
6. Include current data from other stakeholders, such as Government offices, Nifas-Silk Lafto Kifle Ketema (NLKK) Administration, health centers in NLKK, Ministry of Women and Children, and implementing partners of the organization in the reporting process on the regular basis to track overall impact of the project.
7. Use past year experience as a test run and inspect what has worked, where adjustments are needed and how to best address the short comings

5.4 Suggestions for Further Study

This study has various delimitations that can be addressed through further study. Following are the researcher suggestion for further study by future researchers:

- This is a single-case study to understand the phenomenon in depth and lacks quantitative data. Future study utilizing multiple cases and/with quantitative data will aid in providing a wholistic understanding of the challenges NGOs face in Ethiopia.
- This study doesn't not account for Risk and Assumptions Monitoring, although it is an integral part of RBME. Future studies that encompass risk and assumption monitoring and its process will help NGOs on how to account for it and include in the system.
- The contextual framework is a construct of the findings from this study based of theoretical concepts from literature review and YLF's YEAB project, a grassroot startup NGO that doesn't have enough resources and capacity to implement RBME. Thus, limiting the framework to this context, further study set in deferent parameters will attest if the finding is true for all NGOs in Ethiopia.

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Appendix I: Interview and Focus Group Discussion Guide

Addis Ababa University
College of Business and Economics

School of Commerce

Adaptation of Result Based Monitoring and Evaluation in Ethiopia:
Case of YeAmlak Lijoch Foundation

Interview and Focus Group Discussion Guide

Introduction and Informed Consent

Good morning/afternoon! My name is Tewfit Ayalneh. Thank you for the opportunity to speak with you today. I am doing my thesis for partial fulfillment of the degree of master's in project management. Specifically, my thesis focusses on the adaptation of RBME at YeAmlak Lijoch Foundation. I am conducting this FGD with you to understand the current state of RBME at YLF and to gather information about the need of the organization to propose a sound M&E framework.

Your participation in the discussion is entirely voluntary and you can choose to stop at any time or skip any questions you do not know or does not want to answer. All data and information gathered through this discussion will be used for the sole purpose of the thesis and remains confidential. Therefore, you are kindly requested to respond to the questions with utmost good faith, freely and to the best of your knowledge. Thank you in advance for your time and kind cooperation.

Do you have any questions about the study or what I have said so far? May we begin?

Part I: Details of FGD participants

S.N.	Full name	Sex	Role/Responsibility at YLF	Remark

Part II: The Incentives for Designing and Building a Performance-Based M&E System

1. How would you describe the process of setting priority goals and objectives in the organization? In the project?

2. Can you identify any entity that regularly asks for information on YLF's performance?

3. Does the Board of Directors/government/funding agencies require any type of performance-based information on current projects be provided?

   a. Information on activities or outputs (expected from projects and programs)
   b. Information on outcomes or results (longer-term goals)
   c. Information from evaluations or other formal reviews
   d. Expenditure data on priority goals for the organization

4. Are there internal stakeholders who advocate collecting and using information on project performance?

5. Are there internal stakeholders that would resist requests for producing performance-based information? Reasons for the resistance?

6. How easy (or not) has it been for outside entities to obtain information related to the performance of the project?

7. What information do donors request of the organization on how well their individually sponsored projects and programs are performing? How often?

Part III: Roles and Responsibilities for Assessing Performance

8. Is the organization collecting information on their performance to support budget expenditure decisions and/or to enhance program management?

9. Are there any formal roles or responsibilities for staff in the organizations planning processes?

10. Are there any formal roles or responsibilities for Board of Directors in the organization's procedures for fiscal year budget allocation decisions?

11. Is there any evident role for development assistance in the planning process and setting of strategic goals? And in the fiscal year budget allocation decisions?

12. How would you rate the following in regard to YLFs? Please give examples to support your choice

	None	Low	Medium	High	Remark:
Budget monitoring					

Activity monitoring					
Output monitoring					
Outcome monitoring					
Impact monitoring					

13. What kind of financial expenditure data are collected? By whom?

14. Whose role and responsibility is collecting primary or secondary statistical data for implementing RBM&E?

15. Are there any organizational units/staff that have evaluation expertise and undertake M&E?

16. What data does the planning staff within the organization have available to them? Please specify.

Part IV: Capacity Building Requirements for a Performance-based M&E System

17. How would you assess the skills of staff in the organization in the following five areas?

	None	Low	Medium	High	Remark
Setting project and program goals					
Activity monitoring					
Identifying KPI					
Setting baselines and targets					
Data collection and analysis					

18. Are you aware of any technical assistance, capacity building, or training in M&E now, underway, or done in the past years for any level of staff or BOD? Please describe who provided this help and what the focus was?

Part V: Current M&E Practices and Arrangements

19. Does YLF have a well-organized M&E system on its projects?

☐Yes ☐No ☐No opinion Please support your answer

20. Is there a written M&E plan/guideline/framework?

☐Yes ☐No ☐No opinion

21. Are Monitoring and Evaluation activities part of the project schedule?

☐Yes ☐No ☐No opinion

22. What type of Project Monitoring does YLF uses?

☐ Process / physical progress monitoring ☐Technical monitoring

☐Assumption monitoring ☐Financial monitoring ☐Quality monitoring

☐Other (please specify)

23. What type of Evaluation does YLF uses?

24. What kind of M&E tool/techniques or method are used at YLF?

	Yes	No	Remark
Performance indicators			
Log frame			
Formal survey			
Rapid appraisal method			
Other (please specify)			

25. Who conducts M&E at YLF?

26. What tools and techniques does your organization use to collect M&E data? (You can select more than one if it uses more than one technique)

a. Questionnaire b. Activity report c. Interview d. Focus group discussion

e. Observation f. Weekly reports g. Case study e. Others _____________

27. Please rate the level of the following M&E activity/arrangement at YLF:

	Strongly Agree	Agree	Neutral	Disagree
YLF compares planned project activities schedule against actual schedule to determine project schedule performance				

YLF compares planned project outputs against actual delivered output				
Data is routinely collected and analyzed to track project outcomes				
Data is routinely collected and analyzed to track project impact				
M&E information is used to assist in decision making in planning				
M&E helps in learning from experience and in adapting necessary changes				
YLF effectively promotes and communicates M&E functions and roles to its staff				
YLF has adequate staff/capacity for M&E				

28. What are the challenges you faced whilst implementing RBM&E?

Appendix II: Sample Logical Framework

Direct recipients:

- Government and public institutions (Ministry of Women, Children and Youth Affairs (MoWCYA), Ministry of Health (MoH), Civil Society Organizations Agency, Woreda Health Centre's, other agencies under the aforementioned ministries.
- Association of Civil Society Organizations.
- Other civil society organizations.

Ultimate beneficiaries:

- Poor and homeless mothers giving birth at Health Centers.
- Neonate born from poor and homeless mothers.

Project title: YeMariam Aras Bet | **Project Duration: 3 Years** | **Project budget: Undisclosed**

Development Objectives/ Expected Impact: Better postpartum maternal and child health

Indicator: Number and % of postpartum women that received care from YLF who otherwise would have ended on the streets and are self-sufficient in 3 years.

Project structure	Indicators	Means of verification	Assumptions, hypothesis, and Risks
Immediate Objective / Outcome 1 **Postnatal care coverage improved**	• Number of mothers supported in 6 months • Number of neonates supported by the program in 6 months	Health Centers' and Progress reports Health Centers' and Progress reports	
Output 1.1 **Postpartum care for poor and homeless mothers giving birth provided at 3 selected Health Centers**	• Number of meals delivered to HCs per month • Number of cabinets delivered to HCs per month	Health Centers' and Progress reports Health Centers' and Progress reports	
Output 1.2 **Provide home environment and childcare services to poor and homeless mothers to breast feed their newly born child for at least for the first six months**	• Number of mothers and neonates admitted to the center per year • Number of mothers completing the program per year	Progress reports Progress reports	
Output 1.3 **Means of survival for neonate born from poor and homeless mothers provided through on-site services at 3 selected Health Centers**	• Number of poor and street mothers supported on-site monthly • Number of mothers that received grocery packages monthly • Number of mothers supported by covering transportation cost monthly	Progress reports Progress reports Progress reports	

Activities

1.1.1 Agreement reached with HCs staff on the type of services and items to be delivered.

1.1.2 Need assessment at HC.

1.1.3 Creating understanding with the HCs and reach to agreement on the type of services.

1.1.4 Preparing and delivering food for laboring and childbearing moms.

1.1.5 Packing home take grocery items and delivering.

1.1.6 Availing sanitary items for mothers and newborn.

Appendix III: Activities Assignment Sheet

Activites Assignment				
Development Objectives/ Expected Impact				
Better postpartum maternal and child health				
One time Activities	Assigned to	Due Date	Completed by	Completed on
1.1.1 Agreement reached with HCs staff on the type of services and items to be delivered.				
1.1.2 Need assessment at HC.				
1.1.3 Creating understanding with the HCs and reach to agreement on the type of services.				
On Going Activities				
1.1.4 Preparing and delivering food for laboring and childbearing moms.				
1.1.5 Packing home take grocery items and delivering.				
1.1.6 Availing sanitary items for mothers and newborn.				

Appendix IV: Progress Report

Monthly M&E Report

Project title: YeMariam Aras
Project Duration: 3 Years
Project Manager:
Project budget: Undisclosed

Development Objectives/ Expected Impact
Better postpartum maternal and child health
Indicator: Number and % of postpartum women that received care from YLF who otherwise would have ended on the streets and are self-sufficient in 3 years.

		Target for Year 1	January		February		March		April		May		June		July		August		September		October		November		December		Total for Year 1
			HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	HC Report	YLF Report	
Outcome 1																											
Postnatal care coverage improved	Total number of mothers supported																										
	Total number of neonates supported by the program																										
Output 1.1																											
Postpartum care for poor and homeless mothers giving birth provided at 3 selected Health Centers	Number of meals delivered to HCs																										
	Number of cabinets delivered to HCs																										
Output 1.2																											
A time limited home environment and childcare services to poor and homeless mothers to breast feed their newly	Number of mothers and neonates admitted to the center																										
	Number of mothers completing the program																										
Output 1.3																											
Means of survival for neonate born from poor and homeless mothers provided through on-site services at 3 selected Health Centers	Number of poor and street mothers supported on-site monthly																										
	Number of mothers that received grocery packages monthly																										
	Number of mothers supported by covering transportation cost monthly																										

Appendix V: Health Center Report

YeMariam Aras Bet Monthly HC Data Report														Project Duration: 3 Years Project Manager: Project budget: Undisclosed
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Total	Target for Year 1
# of Registration Certificate														
Needs Assessment Intake Sheet														
Meal Plan														
Yes														
NO														
Marital Status														
Single														
Married														
Divorce														
Other (Specify)														
Employment														
Yes (Specify)														
NO														
Homeless														
Yes														
NO (Specify)														
Neotal Care Package														
Yes														
No														
Plan to Breastfee														
Yes														
NO (Specify)														
HC Cabinet Utilization Report														
Cabinet Delivery														
To HC														
TO Mothers														
Balance														
Meal Delivery Report														
Meal Delivery														
To HC														
To Mothers at home														
Total														