



**Addis Ababa Univeristy
College of Business & Economics
Departement of Public Administration
and Development Management**

**Evaluation of Ethiopia Humanitarian
Response Fund /HRF/
Project Monitoring System**

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**In partial fulfillment of the requirements
for Master's Degree in Public Administration
and Development Management**

Oct, 2019

Student Declaration

I hereby declare that this project report entitled “**Evaluation of Ethiopian Humanitarian Response Fund (HRF) Project Monitoring system**” submitted in partial fulfillment of the requirements for Master’s Degree in Public Administration and Development Management in the Graduate College of Addis Ababa University Faculty of Business & Economics, is my original work that has not been submitted for any degree or diploma program in this or any other institution and all resources are accordingly acknowledged.

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Abstract

This study was conducted to improve the existing project monitoring system of Humanitarian Response Fund (HRF) during the year 2016 – 2018. The study utilized evaluation methods of research, using both qualitative and quantitative approaches. Documents of 94 projects, different published reports and internal documents were reviewed. In addition, data gathered through interview and focal group discussion were held with three M&E staffs and their manager of HRF, eight workers from Nutrition Cluster, implementing partner's i.e totally twelve (seven male and five female) workers both from UN and NGO partners were analyzed . The study found out that, Humanitarian Response Fund (HRF) is one of major humanitarian actors in the country and is channeling significant amount of money through its NGO and UN partners to implement humanitarian response projects. However, the study found out that even though HRF is conducting monitoring of projects, it is difficult to conclude that the projects are monitored effectively. The study revealed that, on average 70% of the supported projects are monitored or visited once during their lifetime and HRF couldn't visit 100% of the projects. This was because of various identified challenges in this study. Finally, to enhance the existing project monitoring system of HRF, this study made recommendations HRF to deliberate considering the resources available, governance and priority with in OCHA.

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List of Acronyms/Abbreviations

| | |
|--------|--|
| APMBOK | Association of Project Management Book of Knowledge |
| APRs | Annual Project Reports |
| AWPs | Annual Work Plans |
| CRDA | Christian Relief Development Agency |
| DFID | Department of Foreign International Development |
| DRMFSS | Disaster Risk Management and Food Security Sector |
| ECHO | European Civil protection and Humanitarian aid operation |
| EFSL | Emergency Food Security and Lively hood |
| EHCT | Ethiopia Humanitarian Country Team |
| ENCU | Emergency Nutrition Coordination Unit |
| ERCS | Ethiopian Red Cross Society |
| ERF | Emergency Response Funds (ERFs) or |

| | |
|-------|--|
| FOS | Foundation of success |
| GHA | Global Humanitarian Aid |
| HC | Humanitarian Coordinator |
| HRF | Humanitarian Response Funds |
| IFRC | International Federation of Red Cross |
| INGOs | International NGOs |
| IP | Implementing Partners |
| IRC | International Rescue Committee |
| IUCN | International Union for Conservation of Nature and Natural Resources |
| LFA | Logical Frame Work |
| M&E | Monitoring and Evaluation |
| MOARD | Ministry of Agriculture and Rural Development |
| MOV's | Means of Verifications |
| NFI | Non Food Item |
| NGO | Non-Government Organizations |
| NNGOs | National NGOs |
| OCHA | Office for the Coordination of Humanitarian Affairs |
| OFDA | Office for Development Assistances |
| OIOS | Office of Internal Oversight Service |
| PM&E | Participatory Monitoring and Evaluation |
| PMI | Project Management Institute |
| RBM | Results Based Management |
| RC | Resident Coordinator |
| SCI | Save the Children International |
| SNNPR | Southern Nations and Nationalities People Region |
| TOR | Terms of Reference |
| UN | United Nations |
| UNDP | United Nations Development Programme |
| UNFPA | United Nations Fund for Population Activity |
| USAID | United States Agency for International Development |
| WASH | Waster Sanitation and Hygiene |

CHAPTER 1: INTRODUCTION

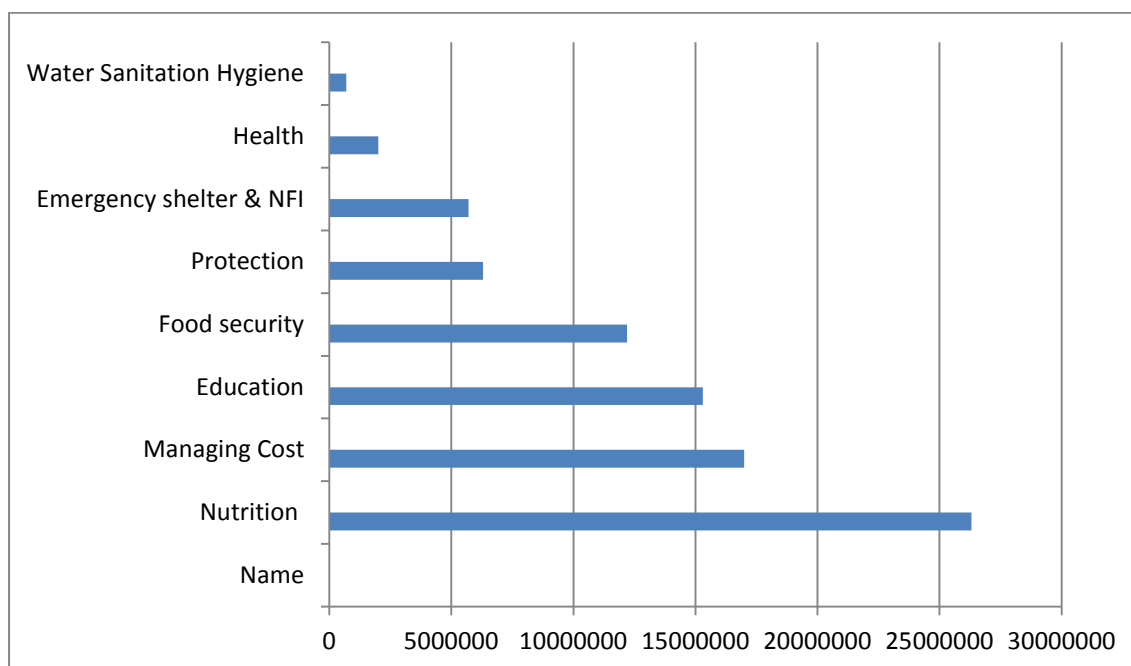
The HRF in Ethiopia described as an emergency funding mechanism established to respond to both naturally triggered disasters; floods, droughts and outbreaks of diseases and also to complex conflict-related crises. The HRF provides flexible and predictable resource that promotes greater effectiveness, accountability and partnership. A humanitarian emergency, by definition, requires immediate action, and for emergency actors to be able to respond, they need access to quick and flexible funding. In many cases, donors are unable to distribute funds quickly enough to address these immediate needs; a fund that takes over a month to approve projects and disburse funds cannot be considered an emergency fund(Global ERF Guideline, October 9, 2012).

In light of this reality, to justify the efficiency and effectiveness of HRF the monitoring system should properly state, designed and implemented as well it should be continuously evaluated. But in my opinion the monitoring systems looks not respected and have no significant value in practice; in some cases the system looks in their plan but the evaluation of the monitoring system not looks in to account. So in this research I will find and show the importance and or the outcomes of the evaluation of monitoring system in the efficiency of HRF's. This chapter defines background of the research followed by statement of the problem. It describes objectives, significance and scope of the study and then structure of the chapters will be highlighted.

1.1. Background of the Study

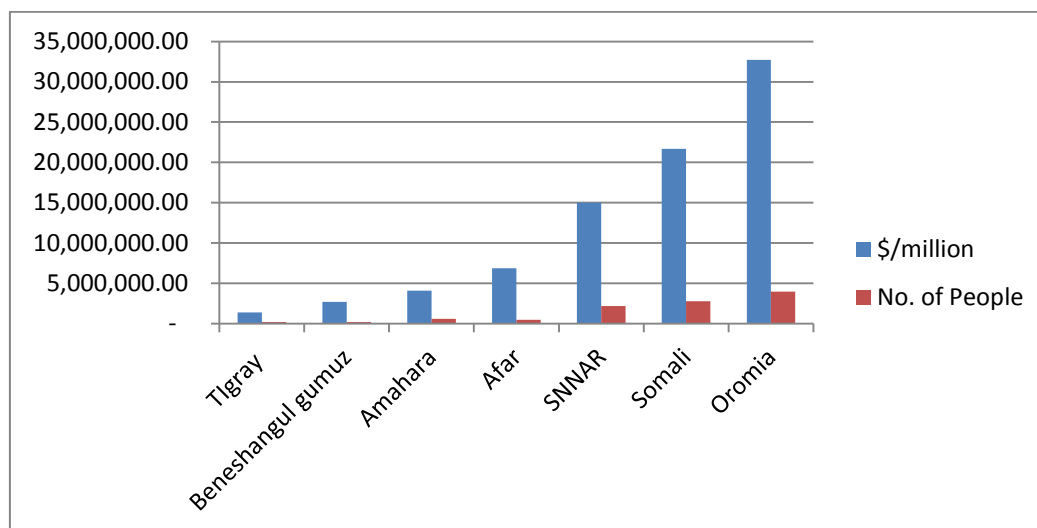
The HRF is intended to initially address non-food needs, particularly water and sanitation, health, nutrition, agriculture and livestock, in affected areas, and alleviate suffering and loss of lives and livelihoods. Although the original design of the Fund was as a gap-filling tool, with additional funding by donors, the HRF has grown to be one of the biggest funding mechanisms in the country. The Fund was established primarily as a funding mechanism for (Non-Government Organizations) NGOs, but is also accessible by United Nations (UN) UN agencies. To date, the humanitarian context in Ethiopia continues to evolve, characterized by both natural and man-made disasters primarily protracted drought impact, flooding and conflict. These disasters are major drivers of displacement for large numbers of people, resulting in loss of human life and assets, disruption of livelihoods and damage to basic services and infrastructure. While Ethiopia continues to recover from years of back-to-back drought impact, additional humanitarian needs arose due to spikes enter-communal conflict-induced displacements since April 2018. As of the end of the year, nearly 8 million people required multi-sector humanitarian assistance.

Figure 1.1: HRF funding bysector (2018)



Source: HRF, 2018

Figure 1.2: HRF allocation by Region (2018)



Source: HRF, 2018

As a measure of accountability, there is need to ensure whether the resources provided to implementing partners are being used efficiently and effectively, whether the projects are within schedule and to determine any problems that may be hindering the implementation. Determination of efficient management of resources is a factor of project monitoring

According to the newly developed and launched global Emergency Response Fund (ERF) guideline, all organizations receiving funding from the ERF should be committed to sharing all evaluation results with the HC, Review Board, Advisory Board and OCHA upon request. In addition to the monitoring plans of the recipient organizations, the HC may also

commission periodic reviews of activities funded through the HRF in order to encourage lessons learned, and to identify clear opportunities for experience sharing and Practices with the potential to be replicated across various comparable projects supported by the Fund (Global ERF Guideline, October 9, 2012).

1.2. Statement of the Problem

Monitoring is the collection and analysis of information to track progress against set plans and check compliance to established standards, (IFRC Project/ programme monitoring and evaluation guide). It helps to identify trends and patterns, adapt strategies and inform decisions for project management. More over the importance of monitoring system should assess and evaluated through articulated methods; otherwise the outcomes of monitoring without consistent evaluation becomes humble.

Various Donors' wants valuable evaluations for the implementation of HRFs monitoring system. To find HRF from different Donors the projectors expected to be more active in its activities to be revealed and are more interested. Reporting with joint evaluated monitoring system of HRF supported projects have got valuable successes and this would enhance relationships, joint lesson learning, transparency and accountability.

As the custodian of donor's money and the administrator of humanitarian responses fund, the HRF team is under obligation to demonstrate high quality result for money spent. Appropriately designed and clearly articulated performance monitoring strategy is needed to guide performance monitoring actions. IT is also should justify through significant evaluations which is well designed and magnified.

However, the HRF project in Ethiopia becomes inefficient and the basis indicates a gap on developing a valuable controlling system that reduced evaluation of monitoring systems .So far therefore, this study goes to assess and show the worth of evaluated monitoring system in the efficiency and effectiveness of HRF projects in Ethiopia.

1.3. The Research Questions

- 1) What are the processes of evaluations of HRF monitoring systems?
- 2) Which processes and tools of data gathering for monitoring?
- 3) Why and when the monitoring well evaluated and is analyzed and disseminated timely?
- 4) Are relevant stakeholders involved in field level monitoring evaluations?
- 5) Which sartorial and regional coverage are valuable in the efficiency and effectiveness of monitoring?

1.4. Objectives of the Study

1.4.1 General objective of the Study

The general objective of the study is to evaluate the existing monitoring system of HRF.

1.4.2 Specific objectives of the Study:

- To describe the existing monitoring process
- To review the quality of information gathering process and tools
- To assess the timeliness of information generation
- To examine inclusiveness (participatory) of the system
- To Study geographical and sectorial coverage of monitoring

1.5. Significance of the Study

The finding of the study will become significant to the HRF team as well as to donors in that it can provide recommendations that will enhance existing monitoring of the HRF. Moreover, the finding of the study will be used to identify best practices and lessons learned for wider circulation with in partners for future practice. Furthermore, it also provides information to researchers and academicians and can also serve as a basis to continue a separate study.

1.6. Scope of the Study

The study focus in assessing only the monitoring system of OCHA-HRF Ethiopia and is not consider the other donors of humanitarian responses. In addition, the scope of the study is limited to physical monitoring (field visit monitoring) of HRF supported projects during the year 2016 through 2018. Monitoring system prior to year 2016 will not be assessed as it doesn't represent the existing system. Although, Monitoring and Evaluation are integrally linked, this study is limited to the monitoring part only as there is no substantial number of evaluations carried out by HRF Ethiopia to be assessed.

1.7. Structure of the Study

The next chapter presents a review of literature related to the topic. Chapter three describes the research methodology to be applied for the purpose of data collection methods, sampling techniques and population composition of the study. Chapter four describes research findings. The last chapter concludes the study and provides recommendation of the study.

1.8. Limitation of the study

Even though, beneficiaries of HRF supported projects are major stake holder of the fund, during the study it was unable to get their view on HRF monitoring. This was mainly due to as most of the HRF supported projects are out of Addis and are located in remote areas.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

This chapter presents reviewed literatures related to humanitarian aid, humanitarian context and major humanitarian actors in Ethiopia. And then, it will describe different findings of Evaluations about HRF Ethiopia. In addition, definition, purpose, tools, process and types of monitoring will be discussed. Furthermore, techniques, data collection methods of monitoring will be explained. Finally the chapter will present, prioritizing, strategizing, best practices and challenges of monitoring and its Evaluations.

2.2 Humanitarian Aid

2.2.1 Definition of Humanitarian Aid

“Humanitarian aid is aid and action designed to save lives, alleviate suffering and maintain and protect human dignity during and in the aftermath of emergencies” (GHA, 2003). The characteristics that mark it out from other forms of foreign assistance and development aid are that (GHA, 2003):

- It is intended to be governed by the principles of humanity, neutrality, impartiality and independence
- It is intended to be short-term in nature and provide for activities in the immediate aftermath of a disaster.

2.2.2 Humanitarian Response Coordination

Coordination is vital in emergencies. Good coordination means less gaps and overlaps in humanitarian organizations’ work. It strives for a needs-based, rather than capacity-driven, response. It aims to ensure a coherent and complementary approach, identifying ways to work together for better collective results (OCHA, 2013)

According to OCHA (2013) the basis of the current international humanitarian coordination system was set by General Assembly resolution 46/182 in December 1991. The Humanitarian Reform of 2005 introduced new elements to improve capacity, predictability, accountability, leadership and partnership. The reform has four pillars:

1. Sufficient humanitarian response capacity and enhanced leadership, accountability and predictability in all sectors/areas of response (ensuring trained staff, adequate commonly-accessible stockpiles, surge capacity, agreed tools, standards and guidelines);
2. Adequate, timely and flexible humanitarian financing
3. Improved humanitarian coordination and leadership (more effective Humanitarian Coordinator [HC] system, more strategic leadership and coordination at the inter-sectoral and sectoral levels);
4. More effective partnerships between United Nations (UN) and non-UN humanitarian actors.

The most visible aspect of the reform is the creation of the Cluster Approach. Clusters are groups of humanitarian organizations (UN and non-UN) working in the main sectors of humanitarian action, e.g. shelter and health. They are created when clear humanitarian needs exist within a sector, when there are numerous actors within sectors and when national authorities need coordination support.

It is OCHA's responsibility to work closely with global cluster lead agencies and NGOs to develop policies, coordinate inter-cluster issues, disseminate operational guidance and organize field support. At the field level, OCHA helps ensure that the humanitarian system functions efficiently and in support of the Humanitarian Coordinator's (HC) leadership. OCHA provides guidance and support to the HC and Humanitarian Country Team, and facilitates inter-cluster coordination. OCHA also helps to ensure coordination between clusters at all phases of the response, including needs assessments, joint planning, and monitoring and evaluation (OCHA, 2013)

2.3 Humanitarian situation and Responses in Ethiopia

Ethiopia is one of the world's most underdeveloped countries, home to an estimated 100 million people. Its population has doubled since 1984 and is projected to more than double again by 2050. Every year several million people require emergency assistance just to meet their basic needs for survival. Since then, the continued high levels of poverty and vulnerability compounded by frequent natural disasters have frequently overwhelmed national emergency response capacities, sustaining a need for external humanitarian assistance (OCHA, 2018)

According to OCHA (2018), the Government and humanitarian partners work jointly to provide emergency assistance to disaster-affected populations. Emergency needs are identified through the twice-yearly national needs assessment process. Annual humanitarian requirements for food assistance; health and nutrition; water, sanitation and health; agriculture (and livestock); and emergency education are represented in the Humanitarian Requirements Document and its revisions. Humanitarian preparedness and response are coordinated by the Government's Disaster Risk Management and Food Security Sector (DRMFSS), a directorate within the Ministry of Agriculture, with sector-specific response coordinated by the respective line ministries. To promote a coordinated response, the humanitarian community has established Ethiopia Humanitarian Country Team (EHCT), locally-adapted cluster approach and a Humanitarian Response Fund (HRF). Following the roll out of Cluster Approach in May 2007, the Cluster Leads have been providing more systematic support to existing Government-led Sectoral Taskforces. The lead role of coordinating the overall planning and response to crises is vested upon Disaster Risk Management and Food Security Sectors (DRMFSS) under the Ministry of Agriculture and Rural Development (MoARD).

The Resident Representative of UNDP also serves as the Resident and Humanitarian Coordinator (RC/HC) for Ethiopia. The RC/HC leads humanitarian coordination and liaison with the Government of Ethiopia and is charged with the responsibility of ensuring that an appropriate level of preparedness exists within the humanitarian response system. The OCHA country office, in collaboration with both Government and partners, provides support to the

RC/HC in coordinating emergency preparedness and response among national and international actors, and strengthening national capacity for humanitarian coordination at the federal, regional and lower levels (OCHA, 2018).

Furthermore, Non-Government Organizations (NGOs) are major actors in the field of humanitarian response whose resources and expertise are often greater – and may differ from – those of UN agencies. Given that no agency can fulfill all humanitarian needs alone. Thus, all the above listed humanitarian actors in the country have a responsibility to coordinate their work (OCHA, 2013).

According to Stephen (2006) to respond to the complex humanitarian crises in Ethiopia; HRF/ERF, USAID (OFDA), the European Union (ECHO) and the Red Cross movement are major humanitarian actors in the country. Stephen argued that HRF/ERF should be a mechanism of first response. The HRF is also well positioned to act as a strategic fund and to fill other priority needs that arise once larger mechanisms come into play. The overall objective of the HRF should be to fill the following strategic needs: time bound geographical, sectoral, and quiet or forgotten emergencies.

Abby Stoddard, Ph.D, (2008), in his review of international humanitarian financing, ERFs have been found to be effective in rapidly responding to sudden onset of small-scale emergencies such as flood or other natural disaster with in the larger humanitarian context similar to humanitarian situations in Ethiopia.

According to Abby (2008), the ERFs operate on a smaller scale, and past reviews have found them to be effective and welcome tools for responding to unforeseen needs and small program gaps. Unlike the larger multilateral pooled funds, the ERFs are well placed to address the sudden onset, small-scale natural disasters that have increased in recent years (Global evaluation of ERFs, country case study draft report, 2012)

Being significant contributor to the humanitarian actions in Ethiopia and as administrator of Donor's money, ensuring accountability of the fund enhancing monitoring and evaluation of HRF supported projects is not questionable. Related documents reviewed about monitoring system of ERFs are discussed below:

Glynn (2008), in his review of HRF Ethiopia found that the HRF draft paper on Monitoring and Evaluation was an excellent start point and recommended that the HRF Unit should ensure that availability of sufficient capacity for a consistent Monitoring and Evaluation capacity within the fund. And thus, the action point on the recommendation was, emphasis on improved monitoring has centered on greater prioritization, forward planning, development of monitoring templates and introduction of peer monitoring.

In addition, one of the recommendations of review of HRF Ethiopia by Office of Internal Oversight Service was to ensure greater ongoing monitoring of ERF grants and quality assurance over grant approval and management processes, OCHA should develop and issue standard guidance to country offices on minimum standards for the management and monitoring of ERF grants across the entire grant cycle; and provide required resources to country offices to comply with such guidance in the management of ERF grants across all stages, from pre-approval processing to end of grant reporting and review (OIOS, 2010)

Recently conducted global ERFs evaluation by Universal a Management Group (2012) revealed that ERF in Ethiopia is nearly as large, in terms of support, as all other HRFs/ERFs combined, thus placing it in a separate category from its sister funds. Furthermore, the report emphasized that, the HRF in Ethiopia is an important and invaluable tool in the overall humanitarian response, with elements that are not duplicated by any other UN system tool. However, gaps were identified in current project monitoring that result in lost opportunities for learning at the project and thematic level. With a current monitoring rate in the 75-80% range, the HRF in Ethiopia has established wide coverage; however the lack of full coverage in itself remains problematic. More importantly, efforts to promote a more participatory approach to monitoring through peer to peer monitoring generally have not achieved widespread coverage. This gap is to some extent exacerbated by the fact that the HRF in Ethiopia does not appear to have sufficient resources to conduct comprehensive and thematic follow-up and lessons learned exercises, continuing the global practice of generally seeing HRFs as a series of isolated projects. Therefore, a variety of opportunities to promote organizational learning and capacity building among NGOs in particular seems not to have occurred (Global evaluation of ERFs country case study draft report, 2012)

2.4 Monitoring

2.4.1 Definition of Monitoring

Monitoring is the routine collection and analysis of information to track progress against set plans and check compliance to established standards. It helps identify trends and patterns, adapt strategies and inform decisions for project/programme management (IFRC, 2011).

According to UNFPA (2004) monitoring is a process that continuously tracks performance against planned activities by collecting and analyzing data indicators established for monitoring and evaluation purposes.

McCoy's definition was adopted and modified as operational definition in Muzinda's (2007) research as routine tracking of the key elements of project implementation performance, usually inputs, activities and outputs, through recordkeeping, regular reporting and surveillance. It seeks to determine if the inputs, activities and outputs (immediate deliverables) are proceeding according to plan. Inputs to be tracked include financial resources, human resources, equipment used on the project and any other input that goes into project implementation. The financial resources are tracked with a budget and performance is analyzed by comparing planned expenditure against actual expenditure. Activities or processes are tracked using a schedule, which is planned schedule against actual schedule of the activities i.e. what activities have been done versus what should have been done according to the planned schedule.

Crawford and Bryce (2003) as cited by Muzinda (2007) argue that monitoring is an ongoing process of data capture and analysis for primarily project control with an internally driven emphasis on efficiency of project. The authors define efficiency in this context as doing the things right, that is, efficient conversion of inputs to outputs within budget and schedule and wise use of human, financial and natural capital. This definition emphasizes the fact that monitoring is geared mainly to project control.

Uitto (2004) defines monitoring briefly as a continuous function that aims primarily to provide management and stakeholders with early indicators of project performance of a project and progress (or lack thereof) in achievement of the results.

2.4.2 Monitoring as Programme/ Project life Cycle

Practitioners and scholars across a variety of disciplines recognize good project management goes beyond implementation – effective project management is integrally linked to well-designed monitoring and evaluation (M&E) systems. (IFRC (2011) Caroline Stem, Richard Margoluis, Nick Salafsky, and Marcia Brown, 2003)

In Muzinda's research (2007), the two authoritative project management bodies of knowledge have been reviewed and their views on monitoring and evaluation are highlighted in the below section. The two project management bodies of knowledge are the Project Management Institute (PMI) body of knowledge (PMBOK) and the Association of Project management (APM) body of knowledge (APMBOK).

The Project Management Institute (PMI) body of knowledge(PMBOK) divides project life cycle into five major stages, namely, initiation, planning, implementation, control (Monitoring) and Project close out (PMI, 2004).

Table 2.1 adapted and modified from Muzinda (2007), illustrates the timing of monitoring in the project lifecycle.

Table 2.1 – Timing of Monitoring in the Project Lifecycle

| PMI project lifecycle stages | Timing of monitoring |
|------------------------------|----------------------|
| Project initiation | |
| Project Planning | |
| Implementation | Monitoring |
| Project control | |
| Project closeout | |

Adapted and modified from: Muzinda, 2007

According to PMBOK monitoring is a function that happens during the implementation stage of the project life cycle. Information from monitoring facilitates the control function of the project (PMI, 2004). It is important that the monitoring happens continuously and effectively throughout the project implementation process to enable the project manager to adequately control the project. This is very important if the project manager is to quickly diagnosis problems that may hinder project success and hence seek remedy (PMI, 2004).

Although, this study is limited to evaluate only monitoring part of ERF Ethiopia, it is found relevant to define Evaluation and discuss it's relation with monitoring as they are integrally linked. In addition, even though most of the literatures reviewed are for monitoring and evaluation, these are adapted in for monitoring for the purpose of this research.

2.4.3 Relationship between Monitoring and Evaluation

2.4.3.1 Definition of Evaluation

The IFRC's secretariat adopts the OECD/DAC definition of evaluation as “an assessment, as systematic and objective as possible, of an ongoing or completed project, programme or policy, its design, implementation and results. Evaluations involve identifying and reflecting upon the effects of what has been done, and judging their worth. Their findings allow project/programme managers, beneficiaries, partners, donors and other project/programme stakeholders to learn from the experience and improve future interventions (IFRC, 2011).

2.4.3.2 Comparison between Monitoring and Evaluation

The main difference between monitoring and evaluation is their timing and focus of assessment. Monitoring is ongoing and tends to focus on what is happening. On the other hand, evaluations are conducted at specific points in time to assess how well it happened and what difference it made. Monitoring data is typically used by managers for ongoing project/programme implementation, tracking outputs, budgets, compliance with procedures, etc. Evaluations may also inform implementation (e.g. a midterm evaluation), but they are less frequent and examine larger changes (outcomes) that require more methodological rigor in analysis, such as the impact and relevance of an intervention. Recognizing their differences, it is also important to remember that both monitoring and evaluation are integrally linked; monitoring typically provides data for evaluation, (IFRC, 2011).

2.4.4 Purpose of Monitoring

According to Winnie (2000), in his review of design of monitoring and evaluation system the purpose of monitoring is described as to keep track of daily activities on a continuous basis in order to indicate as early as possible any shortcomings with regard to delivery of inputs and the execution of activities or production of outputs, in order that corrective measures can be undertaken in time. Thus, monitoring is primarily a device for improving programme management.

On the other hand Muzinda (2007) in her research summarizes the Purpose of monitoring as follows:

a) To ensure that implementation is moving according to plans and if not the project manager takes corrective action, the control function of project management. The monitoring enhances project management decision making during the implementation thereby increasing the chances of good project performance (Crawford and Bryce, 2003: and Gyorkos, 2003). This function also aids early identification of problems before they get out of hand since it is continuous. This is very important in management of projects as it lessens the chances of crisis management since there is constant feel of the “project temperature”.

b) To facilitate transparency and accountability of the resources to the stakeholders including donors, project beneficiaries and the wider community in which the project is implemented. Monitoring tracks and documents resource use throughout the implementation of the project (PASSIA, 2004: Crawford and Bryce, 2003: and Uitto, 2004). This enhances accountability in that it facilitates the demonstration of the resource use throughout the implementation of the project.

c) To facilitate evaluation of the project. In a well-designed monitoring and evaluation system, monitoring contributes greatly towards evaluation. Information from monitoring feeds into the evaluation process.

2.4.5 Types of Monitoring

According to Tom (1997), mainly there are four broad types of monitoring:

- Institutional monitoring - This category refers to internal monitoring of financial, physical and organizational issues affecting the project.
- Context monitoring - The process of tracking the context in which a project is operating, as it affects critical assumptions and risks to the project.
- Results monitoring - The process of tracking project effects
- Objectives monitoring - The process of tracking project objectives and strategies for continuing relevance to the target population and its changing needs

According to IFRC (2011) there are more five categories of monitoring in addition to the above listed?

- Process (activity) monitoring - tracks the use of inputs and resources, the progress of activities and the delivery of outputs.
- Compliance monitoring - ensures compliance with donor regulations and expected results, grant and contract requirements, local governmental regulations and laws, and ethical standards.
- Beneficiary monitoring - tracks beneficiary perceptions of a project / programme. It includes beneficiary satisfaction or complaints with the project / programme, including their participation, treatment, access to resources and their overall experience of change.
- Financial monitoring - accounts for costs by input and activity within predefined categories of expenditure. It is often conducted in conjunction with compliance and process monitoring
- Organizational monitoring tracks the sustainability, institutional development and capacity building in the project / programme and with its partners.

Donors, decision-makers, and the general public want to know if their resources are being spent wisely, especially under the present conditions of scarce funding. In order to attribute ultimate impacts to a programmatic intervention, however, it is not sufficient to focus exclusively on measuring changes in the target. It is important to also examine management processes (e.g., inputs, outputs, outcomes) that influence the ability to affect the target (Foundations of Success (FOS), 2003)

2.4.6 Tools of Monitoring

According to UNDP, 2012 there is a range of approaches and tools that may be applied to monitoring projects, programmes, outcomes and any other programmatic activity. Those who manage programmes and projects must determine the correct mix of monitoring tools and approaches for each project, programme or outcome, ensuring that the monitoring contains an appropriate balance between:

- **Data and analysis**—this entails obtaining and analyzing documentation from projects that provides information on progress.
- **Validation**—this entails checking or verifying whether or not the reported progress is accurate.
- **Participation**—this entails obtaining feedback from partners and beneficiaries on progress and proposed actions.

Table 2 lists a variety of common monitoring tools and mechanisms, divided into three categories according to their predominant characteristic

Table 2.2 - Selecting the Right Mix of Monitoring Mechanisms

| Purpose | | |
|--|--|---|
| Data and Analysis | Validation | Participation |
| <ul style="list-style-type: none"> • M&E framework • Annual Work Plans • Progress and quarterly reports on achievement of outputs • Annual Project Report • Project delivery reports and combined delivery reports • Substantive or technical documents: MDG Reports, National Human Development Reports, Human Development Reports • Progress towards achieving outcomes and Standard Progress Reports on outcomes | <ul style="list-style-type: none"> • Field visits • Spot-checks • Reviews and assessments by other partners • Client surveys • Evaluations • Reviews and studies | <ul style="list-style-type: none"> • Sectoral and outcome groups and mechanisms • Steering committees and mechanisms • Stakeholder meetings • Focus group meetings • Annual review |

Source: UNDP, 2012

According to UNDP (2012) the most common tools and events used for systematic monitoring, data gathering and reporting applicable to projects used by partners are Annual Work Plans (AWPs), field visits and Annual Project Reports (APRs).

- Annual work plans (AWPs) - AWP detail the activities to be carried out by a programme or project—including who is responsible for what, time-frames, planned inputs and funding sources—in order to generate outputs in relation to the outcome. AWP and their accompanying monitoring tools are among the most important tools in monitoring, especially for programmes and projects that are normally multi-year and multi-partner efforts.
- Field Visits - Field visits are essential for any field-based project. Field visits should be planned well in order to be of maximum use.
- The Annual project Report is a self-assessment by the project management that serves as the basis for assessing the performance of programmes and projects in terms of their contributions to intended outcomes through outputs.

2.4.7 Techniques of Monitoring

Broadly there are three main approaches to planning monitoring in use by the major donor agencies (IUCN, 2000):

1. The logical framework approach (LFA) which is the most common and widely used.
2. The German ZOPP, a close derivative of LFA. The acronym stands for the German equivalent of objective oriented project planning.
3. Results Based Management (RBM) or managing for results, which has become the favored model of the Canadians and Americans in recent years.

In addition, according to Muzinda (2007), techniques of monitoring are divided into Approaches, Frameworks and Data collecting methods. No matter which approach is used, there are two frameworks that can be employed in monitoring and evaluation i.e. logical framework or theory based. With either frameworks there are different data collecting methods for the purposes of monitoring and evaluation but they can be divided into qualitative and quantitative. Each of the techniques are described in the next section.

2.4.7.1 Approaches of Monitoring

There are two types of approaches of monitoring. They are traditional/conventional and participatory monitoring

- **Traditional/Conventional Monitoring**

The traditional approach to monitoring is very prevalent in which donors dictate how monitoring and evaluation will be done. The donors provide a preset monitoring and evaluation reporting format that the implementing agency has to adhere to. All that the Implementing staff has to do is collect data that goes into filling this report for passing over to the donor (World Bank, 2004). The most emphasis is on the monitoring and evaluation needs of the donor as opposed to other stakeholders (World Bank, 2004).

- **Participatory Monitoring**

Participatory monitoring is a process through which stakeholders at various levels engage in monitoring or evaluating a particular project, program or policy, share control over the content, the process and the results of the monitoring activity and engage in taking or identifying corrective actions. Project monitoring focuses on the active engagement of primary stakeholders. In addition, Participation is increasingly being recognized as being integral to the monitoring process, since it offers new ways of assessing and learning from

change that are more inclusive and more responsive to the needs and aspirations of those most directly affected. Monitoring is geared towards not only measuring the effectiveness of a project, but also towards building ownership and empowering beneficiaries; building accountability and transparency; and taking corrective actions to improve performance and outcomes. (World Bank, 2002)

Marisol and John (1997), in their review of literatures on Participatory Monitoring and Evaluation (PM&E) found that PM&E is primarily used in development for the first two areas of impact assessment and project management. However, the case study also demonstrate increased use of PM & E for newer purposes including organizational strengthening, understanding and negotiation of stake holders' perception and increase public accountability.

In addition, a report from review of Monitoring and Evaluation revealed that the past has shown that a vast array of individual efforts in monitoring and evaluation only leads to confusion regarding competing approaches, duplication of efforts, and a failure to learn from experience (Caroline et.al, 2003)

Stakeholders of Monitoring

Monitoring stakeholders are those people who have a stake in the programme. They are persons who take decisions using the Monitoring data and findings including the Community/beneficiary, Project field staff, programme managers, Donors and others who influence the programmes. (UNFPA, 2004)

2.4.7.2 Monitoring Frame Works

No matter which approach is used; there are two frameworks that can employed in monitoring and evaluation as discussed below.

Theory based frame work

Theory-based evaluation allows an in-depth understanding of the workings of a program or project. In particular, it need not assume simple linear cause-and effect relationships (Davidson, 2000). It applies a systems approach where the success of an intervention is affected by other factors in the environment which should be identified and how they might interact, it can then be decided which steps should be monitored as the program develops, to see how well they are in fact borne out. This allows the critical success factors to be identified. And where the data show these factors have not been achieved, a reasonable conclusion is that the program is less likely to be successful in achieving its objectives (Uitto, 2004). Rogers, as cited by Uitto (2000) identifies advantages of the theory based framework to monitoring and evaluation to include the following:

- a) Being able to attribute project outcomes to specific projects or activities.
- b) Being able to identify unanticipated and undesired programme or project consequences.

Logical framework (Log frame)

Logical framework is a systematic planning procedure for complete project cycle management. It is a problem solving approach which takes into account the views of all stakeholders and also agrees on the criteria for project success and lists the major

assumptions. The logical frame work matrix provides a summary of the project design and has four columns and usually four or five rows, depending on the number of levels of objectives used to explain the means-ends relationship of the project (AusAID, 2000).

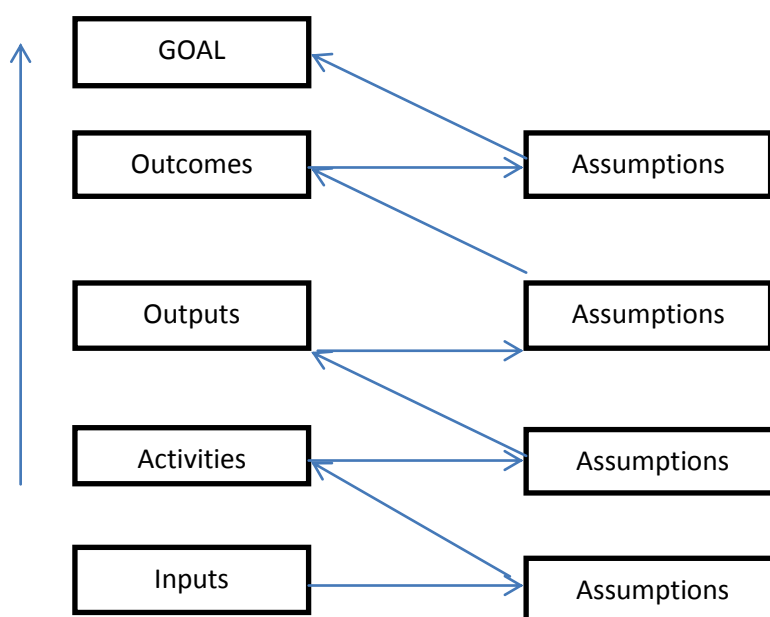
Table 2. 3: Logical Framework Matrix

| Project Description | Indicators | Means of verification (MOV) | Assumptions |
|----------------------|--|-----------------------------------|-------------|
| Goals | Indicators | MOVs | Assumptions |
| Outcomes | Impact | MOVs | Assumptions |
| Outputs | Outcome Indicators | MOVs | Assumptions |
| Activities/processes | Activity/process | MOVs | Assumptions |
| Inputs | Milestone specified in activity schedules and scope of service | Work plans and management reports | Assumptions |

Source: Adapted from AusAID, 2000

The **vertical logic** identifies what the project intends to do, clarifies the causal relationships, and specifies the important assumptions and uncertainties beyond the project manager's control (columns 1 and 4 of table 3).

Fig 2.1- Relationship of Elements in the Vertical Logic



Source: Adapted from AusAID, 2000

Each row, or level, on the above figure represents an important element of the program strategy. These levels are linked to each other in a causal relationship. A causal relationship means X causes Y to occur. (IRC, 2005)

The horizontal logic defines how project objectives specified in the project description will be measured, and the means by which the measurement will be verified (columns 2 and 3 of table 3). This provides the framework for project monitoring and evaluation.

Foundations of Success (FOS, 2003), recommends that project monitoring and evaluation is most effective when undertaken in the context of a complete process that links indicators to project goals, objectives, and activities. To accurately assess the impact of an intervention, it is important to understand the context in which the intervention takes place, the management processes behind the intervention, and the causal mechanisms supporting the intervention. This comprehensive process and perspective is a key for helping managers improve their programmes.

With either of the above discussed frameworks, there are two methods of data collection for the purpose of Monitoring and Evaluation as highlighted in the next section.

2.4.7.3 Monitoring Data

2.4.7.3.1 Methods of data collection

According to Muzinda (2007), data for monitoring can be collected using either quantitative or qualitative methods from primary or secondary sources. Quantitative data eases analysis, but limits the degree to which respondent's participation whereas; Qualitative data tend to be more participatory and reflective in practice. According to (IFRC, 2011), Quantitative data is often considered more objective and less biased than qualitative data, especially with donors and policy-makers. However, Quantitative method can be very costly.

Recent debates have concluded that both quantitative and qualitative methods have subjective (biased) and objective (unbiased) characteristics. Therefore, a mixed-methods approach is often recommended that can utilize the advantages of both, measuring what happened with quantitative data and examining how and why it happened with qualitative data (IFRC, 2011).

In addition, According to (Tom, 1997) Data collection for M&E should be limited in scope and sharply focused. The main reasons for this include constraints on quality of data collected, time, skills and budgets.

2.4.7.3.2 Quality of Data

Combining different sources and methods (mixed methods) helps to cross-check data and reduce bias to better ensure the data is valid, reliable and complete. Triangulation is the process of using different sources and/or methods for data collection. The process also lends to credibility if any of the resulting information is questioned. Triangulation can include a combination of primary and secondary sources, quantitative and qualitative methods, or participatory and non-participatory techniques (IFRC, 2011)

2.4.7.3.3 Data Analysis

Data collected should be analyzed and interpretations made to be used to facilitate decision making. Valuable data can be rendered useless by inability to turn them into usable information. For the decision makers, simple explanatory analysis should be used to carefully present tabular materials, graphs or maps and not complex statistical techniques (Winnie, 2000)

2.4.8 Taking action of monitoring findings

A functional M&E system collates and presents the data in a way that facilitates data use at all levels, including the general public and beneficiaries (Deborah)

According to the UNDP M& E tool kit Monitoring and Evaluation have little value if the organization or project does not act on the information that comes out of the analysis of data collected. Once you have the findings, conclusions and recommendations from your monitoring and evaluation process, you need to:

Report/Information Dissemination to Stakeholders

Projects should consider how information about the project and lessons that may have widespread value can be disseminated using newsletters, publications, workshops and seminars and by allowing regional staff to meet together to share experiences (CSFC, 2012)

Information users have many concerns about the quality of information they are Seeking. Some key criteria are shown in the following list (Tom, 1997)

- Accuracy, validity: does the information show the true situation?
- Relevance: is the information relevant to user interests?
- Timeliness: is the information available in time to make necessary decisions?
- Credibility: is the information believable?
- Attribution: are results due to the project or to something else?
- Significance: is the information important?
- Representativeness: does the information represent only the target group, or also the wider population?

Learn from the overall Process

One of the major functions of Monitoring and Evaluation is to create a learning process of Organizational and Institutional learning. Marisol and John (1997)

Make effective decisions about how to move forward

Monitoring should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors management team, understand the implications of what you have learned (UNDP, 2012)

2.4.9 Strategizing and prioritizing monitoring

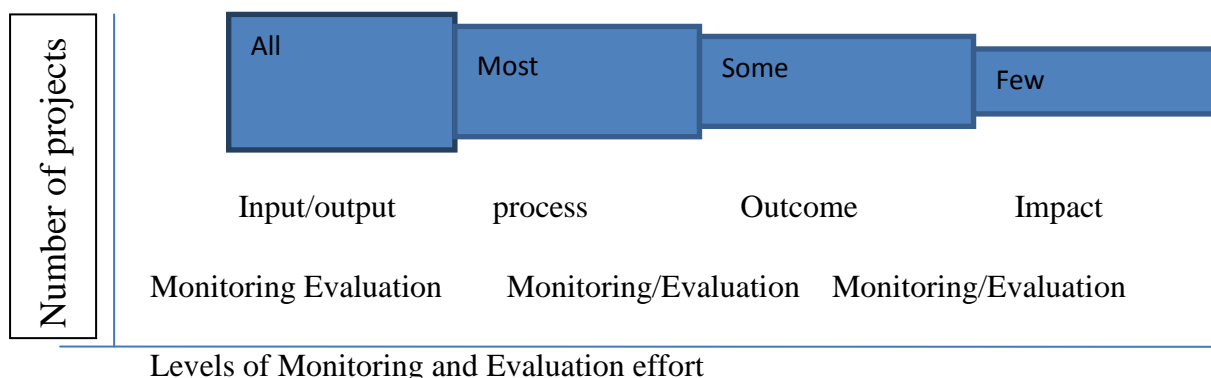
According to the global evaluation country office case study report (2012), HRF in Ethiopia does not appear to have sufficient resources to conduct comprehensive and thematic follow-up and lessons learned exercises. Thus, there is a need to prioritize and strategize monitoring of projects to enhance learning and ensure accountability.

The report of DFID commissioned evaluation of HRF Ethiopia by Stephen Anderson (2006), revealed that When OCHA has managed HRFs in other countries, staff members have aimed to visit each project at least once though this was not always possible because they were often over-stretched or the projects were in remote or insecure locations. Monitoring is considerably easier where OCHA has field offices, as there tends to be regular contact between the OCHA office and recipient agencies and field staff have a good overview of needs and activities in the area. The report recommends that OCHA to explore the option of undertaking joint monitoring with regional government structures and recipient agencies where they are working through local partners, as this would enhance relationships, joint lesson learning, transparency and accountability.

Not all programs and projects need to conduct all types of M&E activities. However, all programs and projects are expected to participate in basic levels of M&E, including assessing needs and monitoring inputs and outputs once implementation begins. Expectations to conduct additional levels of M&E vary by the nature, size and maturity of the program or project.

The below ‘M&E pipeline’ diagram reflects the varying expectations for M&E among different programs and projects.

Fig 2.2 - Strategic Planning for M&E



Source: Adapted from Deborah

Two factors can help assign monitoring priority: **criticality** of a United Nation Development Programme (UNDP) contribution to the attainment of the overall result; and the severity of **risks** it faces. As the criticality and severity of risks change, the corresponding priority attached monitoring of an initiative also changes.

Based on the two criteria of criticality and risks, as indicated in figure below, it is possible to determine four broad categories to assign priority in monitoring. It is also possible to identify which of the two aspects should be followed more closely.

Fig 2.3 - Prioritizing Monitoring



Source: UNDP

2.4.10 Best practices and challenges of Monitoring

Best practices and challenges recommended by different authorities and researches need to be considered in order to achieve effective monitoring. Related literatures that are appropriate to humanitarian response projects sited in Muzinda's research are modified and adapted as discussed below:

2.4.10.1 Best practices of monitoring and Evaluation

Schedule of monitoring and evaluation activities

(IFRC, 2001: AUSAID, 2006: and McCoy et al., 2005) the monitoring and evaluation activities of the project should also be included in the project schedule so that they are given the due importance they require, not only done at the whims of the project manager (IFRC, 2001: AUSAID, 2006: and McCoy et al., 2005)

Monitoring and evaluation budget

Gyorkos (2003) and McCoy et al., (2005) as cited by Muzinda (2007), the project budget should provide a clear and adequate provision for monitoring and evaluation activities to ensure that monitoring and evaluation are not treated as peripheral function.

Personnel assigned for monitoring and evaluation activities

There should also be an individual who is directly in charge of the monitoring and evaluation as a main function (Kelly and Magongo, 2004)

Specification of the frequency of data collection

There should be a clear specification of how often monitoring and evaluation data is to be collected and from whom. There should also be a specification of a schedule for monitoring and evaluation reports to be written (Gyorkos, 2003).

Stakeholder involvement

Involvement of all stakeholders (beneficiaries, implementation staff, donors, wider communities) in the monitoring and evaluation process of the project is very important to enhance learning and create owner ship of the project (Aune, 2000)

Capture and documentation of lessons learned

Lessons learned from the implementation should be captured and documented for incorporation into the subsequent projects and sharing with other stakeholders. (PASSIA, 2004: Uitto, 2004: and Reijer et al., 2002)

2.4.10.2 Challenges of Monitoring and Evaluation

Lack of Monitoring and Evaluation Expertise

Monitoring and evaluation requires specific skills and expertise such as monitoring and evaluation design skills particularly log frame design, indicator setting: both qualitative and quantitative, design of data collecting instruments including questionnaires, focus discussion guides. (Hughes d'Aeth, 2002: and Gibbs et al., 2002).

Inadequate resources

Lack of adequate resources such as budget, personnel and capacity to carry out monitoring and evaluation is another challenge faced by programme managers (Gibbs et al., 2002: and Gilliam et al., 2003)

What are the most common types of evaluation?

There are several types of evaluations that can be conducted. Some of them include the following:

Formative evaluation ensures that a program or program activity is feasible, appropriate, and acceptable before it is fully implemented. It is usually conducted when a new program or activity is being developed or when an existing one is being adapted or modified.

Process/implementation evaluation determines whether program activities have been implemented as intended.

Outcome/effectiveness evaluation measures program effects in the target population by assessing the progress in the outcomes or outcome objectives that the program is to achieve.

Impact evaluation assesses program effectiveness in achieving its ultimate goals.

Process Evaluation determines whether program activities have been implemented as intended and resulted in certain outputs. You may conduct process evaluation periodically throughout the life of your program and start by reviewing the activities and output components of the logic model (i.e., the left side).

Results of a process evaluation will strengthen your ability to report on your program and use information to improve future activities. It allows you to track program information related to Whom, What, When and Where questions:

To whom did you direct program efforts?

What has your program done?

When did your program activities take place?

Where did your program activities take place?

What are the barriers/facilitators to implementation of program activities?

Outcome Evaluation measures program effects in the target population by assessing the progress in the outcomes that the program is to address. To design an outcome evaluation, begin with a review of the outcome components of your logic model (i.e., the right side).

Types and Uses of Evaluation

In order to plan the evaluation in accord with the most appropriate evaluation method, it is necessary to understand the difference between evaluation types. There are a variety of evaluation designs, and the type of evaluation should match the development level of the program or program activity appropriately. The program stage and scope will determine the level of effort and the methods to be used (Program Operations Guidelines for STD Prevention manual on program evaluation).

| Evaluation Types | When to use | What it shows | Why it is useful |
|---|--|--|--|
| Formative Evaluation Evaluability Assessment Needs Assessment | <ul style="list-style-type: none"> • During the development of a new program. • When an existing program is being modified or is being used in a new setting or with a new population. | <ul style="list-style-type: none"> • Whether the proposed program elements are likely to be needed, understood, and accepted by the population you want to reach. • The extent, to which an evaluation is possible, based on the goals and objectives. | <ul style="list-style-type: none"> • It allows for modifications to be made to the plan before full implementation begins. • Maximizes the likelihood that the program will succeed. |

| | | | |
|---|--|---|---|
| Process Evaluation Program Monitoring | <ul style="list-style-type: none"> • As soon as program implementation begins. During operation of an existing program. | <ul style="list-style-type: none"> • How well the program is working. The extent to which the program is being implemented as designed. • Whether the program is accessible an acceptable to its target population. | <ul style="list-style-type: none"> • Provides an early warning for any problems that may occur. • Allows programs to monitor how well their program plans and activities are working. |
| Outcome Evaluation Objectives-Based Evaluation | <ul style="list-style-type: none"> • After the program has made contact with at least one person or group in the target population. | <ul style="list-style-type: none"> • The degree to which the program is having an effect on the target population’s behaviors. | <ul style="list-style-type: none"> • Tells whether the program is being effective in meeting it’s objectives. |
| Economic Evaluation: Cost Analysis, Cost-Effectiveness Evaluation, Cost-Benefit Analysis, Cost-Utility Analysis | <ul style="list-style-type: none"> • At the beginning of a program. • During the operation of an existing program. | <ul style="list-style-type: none"> • What resources are being used in a program and their costs (direct and indirect) compared to outcomes. | <ul style="list-style-type: none"> • Provides program managers and funders a way to assess cost relative to effects. “How much bang for your buck.” |
| Impact Evaluation | <ul style="list-style-type: none"> • During the operation of an existing program at appropriate intervals. At the end of a program. | <ul style="list-style-type: none"> • The degree to which the program meets its ultimate goal on an overall rate of STD transmission (how much has program X decreased the morbidity of an STD beyond the study population). | <ul style="list-style-type: none"> • Provides evidence for use in policy and funding decisions. |

CHAPTER 3: REASERCH DESIGN AND METHODOLOGY

3.1 Introduction

This chapter presents the research methodology and the techniques applied including research design and approach, subjects of the study, sampling technique, population, sample size, data collection instruments and data processing and analysis techniques.

3.2 Research Methodology and Approach

Considering the purpose of this study, it is found appropriate to use Evaluation research methodology. Evaluation research can be demarcated as a type of study that uses standard social research methods for evaluative purposes, as a specific research methodology, and as an assessment process that employs special techniques unique to the evaluation of social programs (<http://muse.jhu.edu>). In addition it is a methodological area that is closely related to, but distinguishable from more traditional social research. According to Alan and Ruth (1999), what distinguishes evaluation research from other types of social research activity has nothing to do with research design, techniques, of data collection or methods of data analysis. Indeed, evaluation involves the application of the methods of social research. According to Alan and Ruth what serves to distinguish evaluation research from other forms of social research is simply a question of purpose. An evaluation is action oriented. It is conducted to determine the value or impact of a policy, program, practice or an intervention with a view to making recommendations for improvement. As sited by Alan and Ruth, Stufflebeam and Shinkfield (1985) stated that the most important purpose of evaluation is not to prove but to improve.

As indicated earlier in this study, Quantitative and Qualitative methods were used to gather the necessary data. Quantitative research from review which consists of those studies the data concerned analyzed in terms of numbers while qualitative research From Interviews which described events, persons and so forth scientifically without the use of numerical data. In addition, quantitative research results were more readily analyzed and interpreted. On the other hand, qualitative research was more open and responsive to its subject. Both types of research were valid and useful and were not mutually exclusive. Therefore, both qualitative and quantitative methods of research were applied in this study.

3.3 Population and Sample size

As per the HRF internal records and annual reports, from the year 2016 to 2018 a total of 167 projects were supported by HRF and out of which 123 were monitored through field level monitoring. Out of the remaining, 25 projects were not appropriate for onsite monitoring due to the nature of the projects such as central procurement of nutrition supplies, common services for humanitarian actors etc. And the remaining 19 were left unmonitored due to limited number of M&E staff, logistics and other priorities with in OCHA. Hence, population size of this study is 123 projects which were monitored by the HRF.

3.3.1 Sample size

The formula for estimating the sample size for determining the sample size based on confidence level needed from a population of 123 was provided by:

$$n = \frac{p(1-p)}{\frac{h^2}{z^2} + \frac{p(1-p)}{N}}$$

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Where,

n = required sample size

h = the margin desired to estimate the population proportion with in ± h with a given confidence coefficient (where $h=Z \sqrt{p}$) i.e 0.05

N = the given population size (123)

Z = the standard normal deviate corresponding to the specified confidence coefficient (1.96)

P = population proportion that has been assumed to be .50,

P = population proportion that for table construction has been assumed to be .50, as this magnitude yields the maximum possible sample size required = the degree of accuracy as reflected by the amount of error that can be tolerated in the fluctuation of a sample proportion p about the population proportion P - the value for h being .05 in the calculations for entries in the table, a quantity equal to $\pm 1.96 \sigma_p$ Z = table value of t-test for normal distribution for one degree of freedom relative to the desired level of confidence. Thus for the purpose of this study, which has a population of 123, the sample calculation resulted 93.203 and the sampling was taken to be 94.

3.4 Sampling technique

Two phased sampling technique are used in this research. The first sampling technique is purposive sampling to select 123 monitored projects out of 167 projects that were supported by HRF from 2016- 2018. Purposive sampling technique is a type of non-probability sampling that is most effective when one needs to study a certain cultural domain with knowledgeable experts within (Maria, 2007). Then the study focused on projects that were monitored by HRF from the year 2016 – 2018 and out of which documents were reviewed only for a sample of 94 projects which are from eight different groups of regions (strata). Hence, for the second phase stratified random sampling technique applied. According to Castillo (2009) a stratified random sampling is a probability sampling technique in which the researcher divides the entire target population into different subgroups, or strata, and then randomly selects the final subjects proportionally from the different strata. This type of sampling is used when the researcher wants to highlight specific subgroups within the population

Region was preferred as appropriate strata than the sector, as HRF plans to monitor projects that are in the same region or locations irrespective of the sectors. To determine representative samples from each region the ratio of monitored projects out of the total monitored project will apply on the 94 sample projects as indicated on Table 3:1

Table 3:1 -HRF monitoring per region from 2016-2018 and sampling technique

| HRF monitoring per Region(2016-2018) | | | | | | |
|---|-------------|-------------|-------------|--------------|-------------|--------------------------|
| Region | 2016 | 2017 | 2018 | Total | % | Sample per region |
| Tigray | | 1 | | 1 | 1% | 1 |
| Benishangul | | | 1 | 1 | 1% | 1 |
| Gambella | 3 | | | 3 | 2% | 2 |
| Amhara | 9 | 1 | 2 | 12 | 10% | 9 |
| Afar | 8 | 1 | 3 | 12 | 10% | 9 |
| Oromiya | 8 | 16 | 2 | 26 | 21% | 20 |
| SNNPR | 3 | 8 | 22 | 33 | 27% | 25 |
| Somali | 4 | 25 | 6 | 35 | 28% | 27 |
| Total | 35 | 52 | 36 | 123 | 100% | 94 |

Source: HRF, 2016-2018

3.5 Types of Data

Data collect from both primary and secondary sources. Primary data were obtained from key informant interviews and focus group discussions while secondary data were gathered from review of documents.

3.6 Tools of Data Collection

Primary data obtained from the responses provided by the HRF M&E focal staffs, M&E staffs of implementing partners, HRF teams and OCHA field section staffs. On the other hand, secondary data were explored to obtain information on various issues raised by the study from different published and unpublished documents including HRF annual reports, monitoring reports, and HRF unpublished internal documents, etc.

3.7 Data Processing and Analysis

The qualitative and quantitative data collected through key informant interview, focal group discussion and review of documents will analyzed. Data from document review were summarized and analyzed using Microsoft Excel for tabulation and generation various types of charts. In addition, interview data were analyzed the interview data to reveal themes and issues that emerged from the discussion.

CHAPTER 4: FINDINGS AND ANALYSIS

4.1. Introduction

This chapter presents and discusses the findings of the study the data collected, through interview, focus group discussion and documents review, are structured and analyzed in relation to the research objectives. Interview was conducted with HRF M&E focal person, focal persons of UN & NGO implementing partners and Nutrition cluster. In addition, data from the outcome of from focal group discussion with OCHA field office staffs were analyzed. Furthermore, information from the various interviews and focal group discussions were triangulated with document analysis of 94 monitored projects. The chapter covers the findings and analysis in five sections: processes of HRF monitoring evaluation; data gathering processes and tools; timeliness of information generation; inclusiveness of HRF field level monitoring; sectorial and regional coverage of HRF onsite monitoring.

4.1.1. Processes of HRF Monitoring evaluation System

As per the interview held with HRF M&E staff, the monitoring officers prepare quarterly plans to visit HRF supported projects and produce master list that contains list of projects to be monitored, location and date of monitoring. As the intent of the plan is for logistic and other planning purposes, the master list is Only internally communicated i.e. with the HRF manager, HRF staffs and OCHA Administrative section. It is not widely circulated for partners as there might be changes of the schedules due to other priorities with-in OCHA and various administrative issues.

According to the M&E staffs, once the quarterly plans are agreed among the HRF team, verbal communication and negotiation with administrative staffs of OCHA and implementing partners will start. HRF field level monitoring is not expected to be a surprise visit for implementing partners. HRF informs and invites partners to join the monitoring mission one week ahead for short distant projects and two weeks before the monitoring date for long distant project sites, to enable partners plan ahead of time. The M&E staffs of HRF will follow up the discussion and negotiation with Terms of Reference (TOR) which specifies the responsibilities of the monitor to be signed by the manager of HRF and later by the administrative section of OCHA. Based on the signed documents, per dime and logistics will be arranged on the proposed date.

A discussion with implementing partner (IP) staff of M&E revealed that, due to short notice of HRF in inviting partners to join field monitoring missions, it is challenging to the partner to arrange logistic and assign a staff from their Addis Ababa Office and will be obliged to be represented by their field office project staffs.

The quarterly plans assist OCHA and HRF to prioritize and allot resources ahead of time. However, it is not widely circulated to stakeholders and implementing partners. Two weeks is found insufficient to assign resources for partners where staffs are stressed with their organization core functions and other priorities. Thus, partners will be obliged to be represented only by their field office staff during the monitoring. As partners at Addis Ababa office level are accountable than their field offices to the HRF this will create information

gap and misunderstandings while communicating monitoring findings with staff based in Addis Ababa office. In additions, this might limit Addis Ababa staffs learning opportunities from the monitoring findings.

After finalization of the preparatory work, HRF conducts monitoring mission to the proposed sites. Monitoring of projects is conducted in reference to the strategic paper and other monitoring tools such as monitoring template to be completed during monitoring.

Through the interview conducted the findings indicate there is no possible always to monitor outcome of the projects as HRF conducts monitoring missions at any possible stage of the project duration. While monitoring projects at its initial stage is appropriate to monitor inputs rather than outcome. In addition, evaluating the monitoring of project outcome does not guarantee quality of inputs used worth of the allocated budget and processes are followed to the expected standards which will impact quality of the output.

4.1.2. Data gathering Processes and Tools

4.1.2.1. Data Gathering Processes

As per the HRF M&E staff, before going out to the monitoring M&E officer should have to be equipped with information about the project to be monitored and how the monitoring by itself is evaluated. All required information such as objective of the project, location, budget and project deliverables are available on project documents such as project proposals, project log frames, budgets, status reports submitted by implementing partners are key for the monitoring even if the data are gathered from secondary sources. In addition to the above listed sources, during monitoring, data are gathered from primary sources such as observation, interview with program officers of implementing partners, discussion with local government officials and sometimes from beneficiaries.

HRF follows comprehensive data gathering process which enables the monitors to get comprehensive data about the project. Seeking most information from partners and other stake holders due to inadequate preparation, might create disrespect and unreliability towards the M&E officer. Thus, being self-reliant with all required information might assist to empower M&E officer in order to influence monitoring findings and the evaluation of monitoring.

4.1.2.2. Data Gathering Tools

From the interview and review of document analysis, there are not found well organized HRF monitoring evaluation template which is used as major tool for data gathering. This section can be completed before going out to project sites while reviewing project documents. These samples should related to performance or progress of the project such as, startup of the projects, quality of outputs, relevance of intervention, appropriateness of the intervention, level of participation of local stake holders in planning and implementation of the project, etc. As per the discussion with HRF M&E staff, OCHA field section staffs and IP staff, some of the wordings of the monitoring template are vague and repetitive. Thus, it is challenging for somebody to easily understand unless it is clarified by a staff from OCHA. In addition,

according to IP staff the template was not friendly to the IP staffs as it was designed from donor point of view. Furthermore, it is stated that items listed in the monitoring template are too narrow to monitor the performance of a project and there is no section for standard indicators in order to compare performance against planned activities.

In addition to completing the template, the monitor uses notebooks to keep records of meeting notes or outcomes of discussions or meetings held with local authorities and communities. Taking pictures to witness the observation and share with stakeholders is another tool for data gathering. Pictures taken from field visits are used in different publications of the HRF including annual reports.

Even though, HRF is using different data gathering tools during monitoring, the major data gathering tool is not found comprehensive to record all relevant information. In addition, as it was designed by HRF staffs without consultation with other stakeholders such as, Clusters and IPs, it misses technical component of the monitoring (i.e logical frame work and Major Performance Indicator) and are difficult to understand. This might limit partners to conduct independent peer to peer monitoring without involvement of HRF staff. In addition, unless data related to technical component of a project are gathered and feedbacks are communicated with the partner it is difficult to say that a project is monitored. Thus, IPs will be discouraged to be involved in peer to peer monitoring which is recognized as an earning opportunity among partners.

4.1.3. Timeliness of Information Generation

4.1.3.1. Timing of Monitoring

As per the finding from key informant interview the discussion with HRF M&E staffs, IP staff and review of monitoring reports, on site visit of HRF supported projects at the start up stage allows implementing partners to start the project and timely respond to the humanitarian crises in particular to time sensitive projects. However, it doesn't help to monitor outcome of the intervention and unable to validate the performance of the project as reported by implementing partner on the terminal report. Whereas, on site monitoring of projects at the middle of the project duration enables partners to make corrective action and to rectify the project as per the monitoring findings and recommendations before completion of the project. On the other hand, monitoring of projects at the end of the project and evaluating the quality of the monitoring system by itself helps to better understand and see the outcome of the project and ensure whether the project has achieved the planned objectives or not. However, HRF is unable to determine appropriate timing for projects monitoring as effort is being made to monitor a project at least once whenever possible. HRF does not have the luxury to judge timing of monitoring due to:

- Large number of projects supported i.e on average 50 per year
- Very short life span of project duration (i.e a maximum of 12 months for some of the projects and most of the projects are for six months duration)
- Limited resources (For the last two years there was only one M&E staffs and recently one is recruited. In addition, limited logistic support due to other priorities with in OCHA)

Without determining appropriate timing for monitoring where resources are scarce, questioned cost effectiveness of the monitoring. Arranging field mission arbitrarily at any stage of the project without justifying the need for monitoring of project at that specific time will not worth commitment of scarce resource. The monitor should determine what he is intended to influence stakeholders with the monitoring findings and it should go beyond the Evaluation of the quality of the monitoring system.

4.1.3.2. Timing of Information Dissemination

According to HRF M&E staff, timely communication of monitoring findings is crucial to achieve all the intended purposes of monitoring. Hence, HRF communicates monitoring findings as soon as possible i.e upon return from monitoring visit. In most cases, M&E officers provides monitoring feedbacks to implementing partners informally using telephone or e-mail communication from day one of the monitoring, to enable the implementing partner take timely remedial actions. In addition, findings are usually discussed with relevant stakeholders including programme staffs of implementing partners to encourage achievements; discuss challenges; and agree on way forwards during monitoring. Moreover, usually HRF held meetings with government local authorities to communicate monitoring findings in order to discuss issues, to recommend solutions and influence next actions. Depending on the level of findings, sometimes high level meetings with senior officials of implementing partners will be held at head office level after completing field level monitoring if the finding requires senior management attention. On the other hand, if the findings are not that significant and every activities are going as planned, M&E officers complete the monitoring templates and circulate the report to implementing partners and relevant stake holders at earliest possible, depending on other priorities and workloads with the HRF team. As per the information from two of IP staffs, there are occasions HRF delays monitoring feedbacks. In addition, the findings will not be addressed to the right person. This might further delay taking corrective action of monitoring findings and record keeping of monitoring findings for future references.

Timely communications of monitoring findings with appropriate staffs at relevant stakeholders encourage and influence partners to take remedial action at the right time, take lessons learned and keep records of the findings for future reference. Delayed and outdated communication of monitoring findings might create negligence by implementing partners and will discourage partners to commit resources and staff in future HRF monitoring.

4.1.4. Participatory/inclusiveness of HRF monitoring

Participation of relevant stakeholders throughout the monitoring process i.e. from planning to report of monitoring findings is not doubtful. Active participation of stakeholders in monitoring benefits to build ownership, accountability and transparency among all the concerned. In addition, participatory monitoring enhances the level of understanding and improves performance and outcomes.

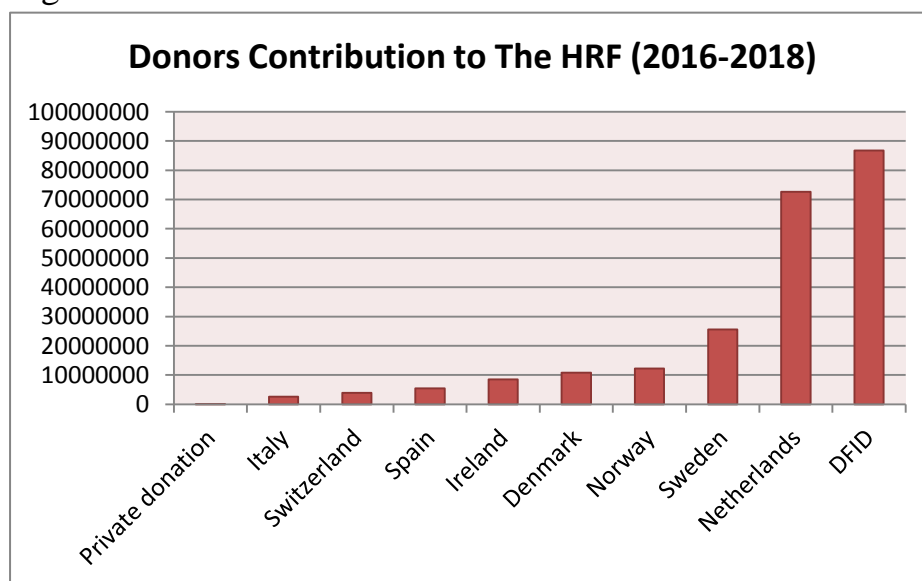
4.1.4.1. Stake Holders of HRF

As per the interviews and focal group discussion held with HRF M&E staff and OCHA field office staffs, any organization that has a concern or which is involved in humanitarian response in the country has a stake on HRF. Hence, different humanitarian actors who have interest and can influence the activity of HRF are stakeholders. From review of HRF annual reports , interview with HRF monitoring staff and focus group discussion held with field office staffs, major stakeholders of HRF and their roles are as discussed below.

Government – Most of the time, humanitarian responses are led by government of the country affected. Without Collaboration of government, the HRF can't meet its major objectives of ensuring timely and appropriate humanitarian responses. Hence, HRF does involve regional and local level government counter parts in most of HRF field level monitoring in order to get their input.

Donor's – HRF is among the major contributors of humanitarian response in the country. This is mainly due to valuable contribution of its various donors. Since its inception, the HRF received and administered about a total of US \$ 229 million on behalf of nine different donors.

Figure 4.1– Donor's contribution to the HRF since 2018



Source: HRF, 2018

As per the interview held with HRF Manager, in addition to donor's generous contribution of resources to the HRF, donors are represented in HRF advisory board which meets semiannually to provide strategic guidance to the HRF. Thus, donors are one of major stake holder who has significant stake on HRF. However, donor's participation in the process of monitoring is very limited even if they are interested in the findings and strengthening of the HRF monitoring system. From review of monitoring documents from each region, out of the randomly selected samples from each region, donors were involved only in a total nine projects from which five were in Afar and four from SNNPR region i.e about 10% of the 94 projects selected for document reviewed. Though, it is difficult to involve Donors in each and every monitoring trip of HRF, their engagement in monitoring process and some of the trips might allow them to understand and balance expectations from HRF.

Implementing Partners – HRF is not supposed to implement a project by itself. Thus, international NGOs, UN agencies and ERCS are implementing partners of HRF supported projects. From the interview held with HRF M&E staff and partners implementing partners are involved in one way or another in the HRF monitoring process. Without, engagement of implementing partner staffs might limit comprehensive understanding of the project and might create bias.

Clusters - The work of the HRF would be incomplete without the clusters' engagement in technical reviews of the numerous applications HRF receives for funding. The cluster leads are instrumental in taking the lead to technical review of project proposals and compile the comments and recommendations made by their review group members and ensuring the applicants' follow through refinement of applications. As per the discussion held with nutrition cluster lead i.e. Emergency Nutrition Coordination Unit, due to the workload and limited number of staffs the team has, it is unable to actively participate in HRF monitoring processes to complement the technical part. However, situation analyses which are prepared by each region and submitted to the regional Emergency Nutrition Cluster Unit (ENCU) which is cluster lead for nutrition are considered as desk monitoring by ENCU. The HRF monitoring would have been enhanced, if the clusters were involved as their commitment in the proposal review process. Thus, due to lack of technical expertise during monitoring, HRF are unable to consider technical aspects. This might arise the issue of quality of projects partners are implementing through HRF funding.

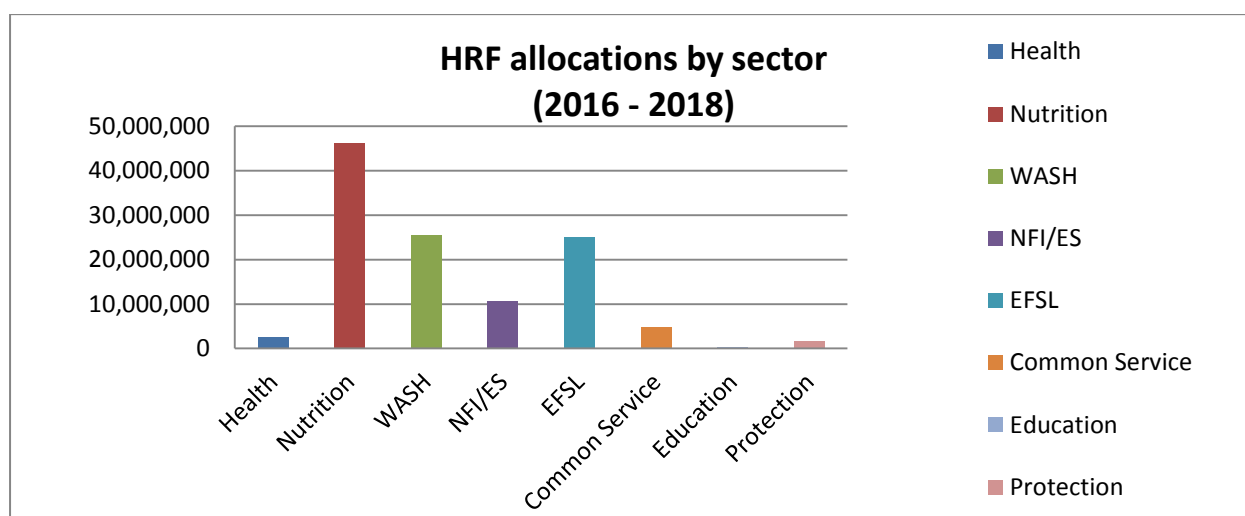
Beneficiaries/Community – The HRF seeks to save lives of affected population. Consulting beneficiaries and getting their input from design to implementation of the project is vital. However, as far as monitoring is concerned engagement of beneficiaries at the planning stage of field visit is not feasible. However, during monitoring, in most of the occasions HRF consult beneficiaries and communities to get their perception about the project wherever they are accessible. According to the discussion held with Humanitarian Director and representative of Save the Children International (SCI) at the HRF review board, as implementers of humanitarian actions there are various ways to be accountable to different stake holders. For example, to be accountable to the government and donors, Memorandum of Understanding will be signed, audits will be conducted and projects will be visited. However, being accountable to the beneficiaries or to the poor is challenging. According to the director, currently save the children is promoting “being voice to the voiceless” or “being accountable to the poor” by committing the organization itself to engage beneficiaries in decision making process as well while designing and implementing humanitarian interventions instead of using them as information sources only. As humanitarian programs are intended to change the situation and save lives of beneficiaries, there is no one who better understands the context they are living in than themselves. Thus, without active involvement of beneficiaries it is difficult to effectively implement humanitarian intervention and challenging to be accountable to beneficiaries.

4.1.5. Sectorial and Regional Coverage of HRF Monitoring

4.1.5.1. HRF supports during 2016 – 2018

From review of documents it was found out that, a total of 198 projects were supported by HRF during the year 2016 to 2018 for a total amount US \$117 million. All through the duration, nutrition was the highest funded sector i.e more than US \$ 46 million which is about 40% of the total funding. WASH being the next highest funded sector has consumed US \$ 25.5 million which is 21 % of the total allocation. Whereas, protection and education were the least funded sectors.

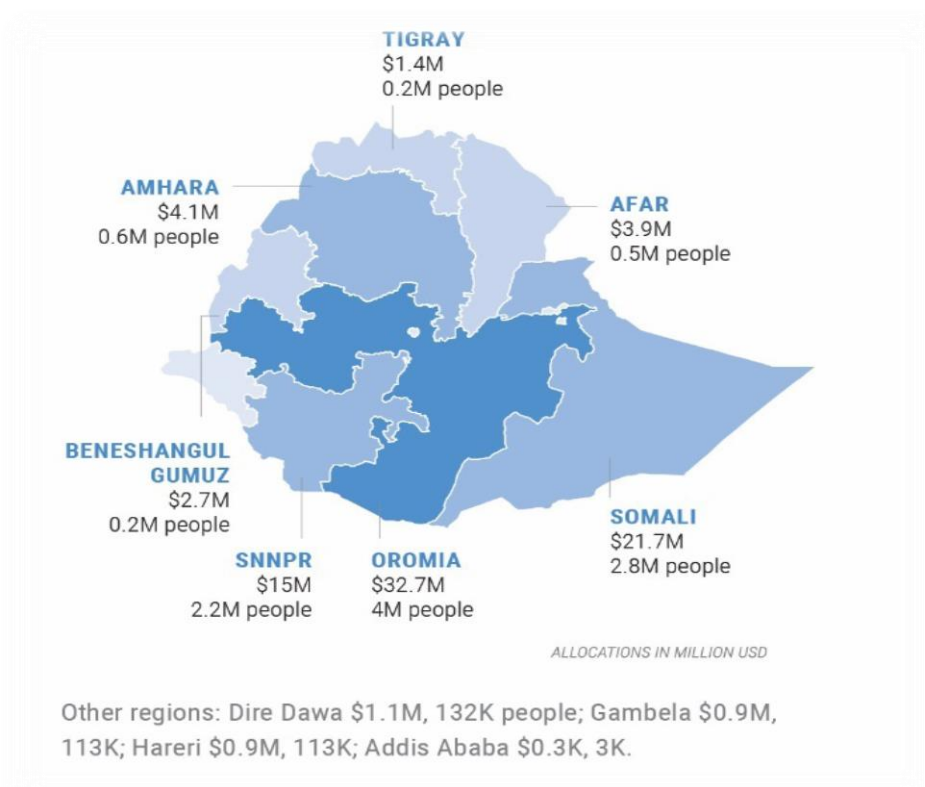
Figure 4.2: HRF allocation by sector (2016-2018)



Source: HRF (2018)

Regarding regional allocation, Somali was the highest funded region with allocated amount of around US \$ 31 million which is 26% of total HRF support followed by multiple regions for a total of US \$ 30 million i.e 25.6% where a projects are designed for more than three regions, such as procurement of nutrition supplies for country wide and common service projects to facilitate humanitarian action throughout the country. Humanitarian Responses to an influx of Somalia refugees to the Somali region in the year 2017 and 2018 have contributed a lot to the Somali region to be the highest funded. Hence, to value significant resources HRF is investing for the nutrition sector and Somali region it is vital to strengthen nutrition related technical expertise of monitoring to the Somali region.

Graph 4.3: HRF allocation by region (2018)



Source: own, 2018

4.1.5.2. Monitoring Coverage of HRF

As per the discussion with HRF, monitoring performance is measured in terms of number of projects monitored against number of supported projects rather than allocated resources. Every supported project by the HRF is subject to monitoring at least once during the life time regardless of significance of the intervention and allocated resource. Review of HRF annual reports and internal records revealed that, during the last three years HRF has monitored a total of 123 projects out of the supported 199 projects. This was mainly because of since 2016 to end of 2018, the number of HRF M&E staff was limited to one due to the replacement of resigned M&E staff replacement recruitment process took long more than expected. In addition, unavailability of logistic support whenever required, due to other priorities with in OHCA were the major challenges to limit HRF monitoring performance. 25 projects were less amenable or not subject to monitoring due to the nature of the projects. Hence, out of the supported projects that are subject to monitoring on average 70% of the projects are monitored.

Even though, various difficulties are facing HRF, considering significant amount of resources investment, having 30% of the projects left unmonitored might question accountability of HRF to the donors.

Table 4.1 Supported Vs Monitored projects of HRF (2016-2018)

| Year | Monitored projects | Projects not appropriate for field level monitoring | Unmonitored projects | Total number of supported projects |
|--------------|--------------------|---|----------------------|------------------------------------|
| 2016 | 52 | 8 | 15 | 75 |
| 2017 | 36 | 8 | 24 | 67 |
| 2018 | 35 | 9 | 13 | 57 |
| Total | 123 | 25 | 52 | 198 |

Source HRF, 2018

4.1.5.3. Analysis of HRF Monitoring Coverage Per Sector (2016-2018)

In review of HRF annual report and unpublished internal records, it is found that nutrition, WASH and EFSL were sectors supported with the highest number of projects i.e 56, 55 and 51 respectively out of 199 projects. This was mainly because drought has been the recurrent and major humanitarian crises in the horn of Africa and Ethiopia during this period. Even though, a response to Somalia refugees was another area of focus during 2017 and 2018 relatively, Health and Non Food Item or (NFI)/Emergency shelter were sectors with least number of projects. Comparing number of monitored projects against supported projects EFSL is the highest sector where 76% of the supported projects were monitored followed by Nutrition and WASH i.e 68% and 67% respectively. EFSL was highest because, during the year 2018 and 2017 there were three rounds of Consortium of seed response projects where eight partners jointly implemented more than 20 projects in the same region. Hence, those projects were prioritized and were monitored by HRF to increase the number monitored projects.

Table 4.3 - Ratio of Monitored out of Supported Projects per Sector

| Sector | No of supported projects | Monitored projects | % |
|--------------|--------------------------|--------------------|------------|
| Nutrition | 56 | 38 | 68% |
| WASH | 55 | 37 | 67% |
| EFSL | 51 | 39 | 76% |
| NFI/Shelter | 10 | 7 | 70% |
| Health | 4 | 2 | 50% |
| Total | 176 | 123 | 70% |

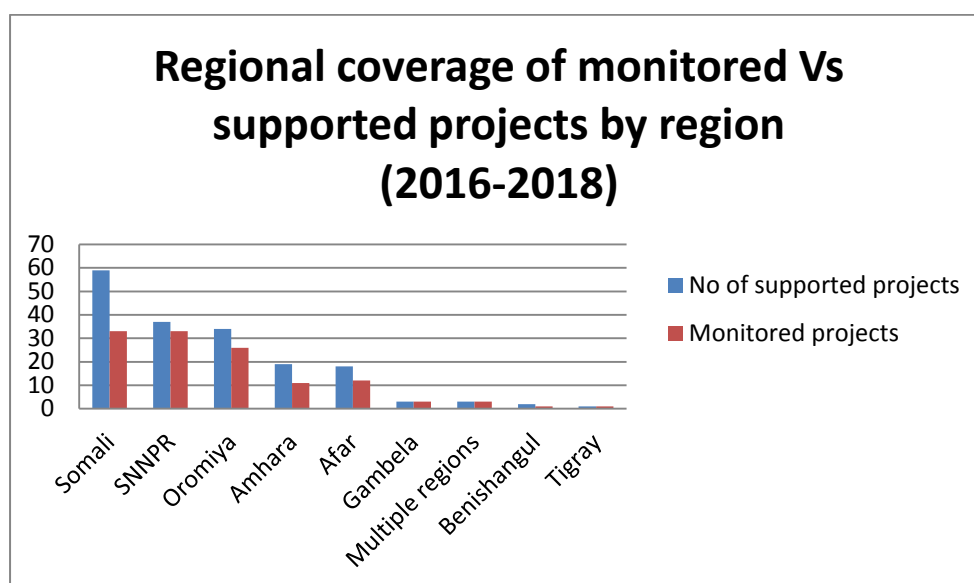
Source HRF, 2018

4.1.5.4. Analysis of HRF Monitoring Coverage per Region (2016-2018)

Yet again, document review and analysis revealed that, Somali was the region with the highest number of projects i.e 59 projects. Subsequent to Somali, SNNPR and Oromiya were the regions with highest number of projects i.e 37 and 34 projects were monitored respectively. On the other hand Benishangul, Tigray and Multiple regions (project with more than one region) were with equal number of projects i.e 2. Regarding percentage of monitored projects three regions with small number of projects were achieved 100% i.e. in

Gambela 3 projects were monitored out the three supported projects. In multiple regions and Tigray two projects were monitored out of two projects. Considering regions with significant number of supported projects, Southern Nations Nationalities People Regions (SNNPR) was the highest where 33 projects were monitored out of 37 i.e 89 % of the supported projects were monitored. Oromiya region is the next region with highest percentage of monitored projects where 26 were monitored out of 34 projects i.e 76% of the supported projects is monitored. As presented on the below graph, SNNPR was the region with the highest number of monitored projects as most of the consortium seed projects belong to this region.

Graph 4.3 - Monitored Vs. supported projects by region (2016-2018)



Source: HRF

Narrowing the monitoring to a location where large number of projects location regardless of considering various factors might limit HRF's and partners learning opportunities. For instance, monitoring of large projects located at SNNPR for seed projects, instead of diversifying the monitoring to different locations and sectors without considering other factors might limit learning as there are location, sector and context specific issues. In addition, measuring performance in terms of number of projects monitored resulted in the nutrition sector which is with the highest funding and highest number of projects, where projects are scattered, not to be monitored adequately.

4.2. Data Triangulation

Relating different sources and methods (mixed methods) helps to cross-check data and reduce bias to better ensure the data is valid, reliable and complete. Triangulation is the process of using different sources and/or methods for data collection. The process also lends to credibility if any of the resulting information is questioned. (IFRC, 2011).

From the information obtained through interviewing the HRF M&E staff, it is relevant to ensure the validity, reliability and completeness of data provided by implementing partners on project documents by cross checking with different sources. As government is the major

responsible body for the successful implementation of projects, HRF's biggest effort is to balance between the perception of implementing partners and government counterparts about the project. Information provided in the project documents such as project proposals, planned activities, deliverables on the logical frameworks and any achievement on the status reports are triangulated through observation on the field, discussion with local government authorities, communities and beneficiaries.. In addition, from review of HRF annual report, typical HRF field level mission is described as:

- Talk to NGO project personnel.
- Seek feedback on intervention outputs and outcome from appropriate local government counterpart and woreda administration.
- Visit project sites,
- Hold village level meetings with both men & women to find out how and what benefits have actually reached their people

On the other hand, through interview with IPs, it was found out that, sometimes HRF does not involve implementing partner in the field mission. One side Information about the project is obtained only from government counterpart. This might cause bias and misunderstanding of the real situation on the ground IPs is facing during implementation.

Even though observation is costly and time taking, HRF is using the best and strongest methods to validate data. This does not mean that once projects are visited on site consultation of concerned stake holders is not relevant. Thus, a monitoring to be effective and to be an opportunity for learning, it should involve as much as possible all relevant stakeholders including beneficiaries and the monitoring after done should be evaluated.

4.3. Analysis of data

While analyzing the data gathered through review of project documents, discussion with implementing partner programmer officers and HRF M&E focal person it is observed that analysis of monitoring data needs careful consideration and understanding of the humanitarian situation on the ground, as most of humanitarian responses are situation sensitive. In addition, it was found relevant to consider factors contributing to the success or failure of the project. During monitoring, one can observe situations that can be controlled or beyond control of implementing partners. For instance, a situation, such as seasonal rainfall failure that causes total failure of seed intervention is not because of poor performance of the partner. Thus, analyses of monitoring findings of HRF supported projects require detail understanding of the context of the project implemented.

4.4. Follow up of Monitoring evaluation Findings

HRF follow-ups monitoring findings through ongoing discussions with relevant stakeholders particularly with implementing partners to better understand the situations after the recommendations of monitoring findings. In addition, review of status and terminal reports submitted by implementing partners allows analyzing the outcome of recommended corrective action. As per the IP comments, HRF follow-ups monitoring findings only for some of the projects and not for all projects.

As monitoring is cyclical and is not one time activity a follow up mechanism should be in place to ensure recommendations are considered. In addition, follow up of monitoring findings enables HRF to ensure all recommended remedial actions are considered by implementers. Moreover, it assists HRF and partners to learn implications of monitoring findings and recommendations in achieving project objectives.

4.5. Modes of Communication of Monitoring Findings

Selecting appropriate modes of communication is crucial to provide timely feedback of monitoring findings to relevant stake holders. While discussing with the HRF team, implementing partners M&E focal persons and reviewing documents it is observed that there are various modes of communication for monitoring findings. While interviewing HRF M&E staff it is found that, depending on the urgency of the information, HRF uses different modes of communication. For monitoring feedbacks that demands quick action of the partner or any relevant stake holders, using telephone and e-mail communication are appropriate means of communication. If the finding requires attention of other stake holders to discuss and arrive on decisions, arranging a meeting and presenting the observations by supporting photographs on power point presentation is suitable. If there are no significant findings of monitoring a written report will be communicated to the partners to appreciate achievements and to keep of records for future reference.

To communicate monitoring findings that needs quick action of implementing partners using telephone and e-mail is found appropriate, than waiting for a written formal communication. In addition, as telephone and e-mail are two way communications, using the two modes assists the two parties to exchange ideas and clarify things. Once issues are clarified and agreed points are reached sending a written report using HRF monitoring template helps to record monitoring findings for future reference.

4.6. How monitoring does influence/contributes to the role of OCHA and HRF

As per discussions held with M&E staff of HRF and OCHA field office section, monitoring of HRF supported projects plays significant role in building trust and ensures accountability for donors who channel significant amount of resources through OCHA-HRF.

In addition, reporting of project outcomes and performance in the HRF annual reports based on the monitoring findings answers how many lives are saved. Furthermore, before the inception of HRF, OCHA's primary role was advocacy, information management and coordination. Having HRF as one of its organ positioned OCHA which can actively engaged in responses as well. This has empowered OCHA to influence and accomplish its core objectives.

4.7. Sharing of Best Practice and Lessons Learned Among Partners

One of the major functions of monitoring is to create a learning process in order to strengthen organizational and institutional learning. As per the discussion with HRF staffs and review of HRF annual report for 2011, there was a strategy called peer to peer monitoring initiated by HRF during the year 2009. Peer to Peer monitoring is a monitoring strategy whereby experts from other agencies participate in monitoring of other HRF funded projects. Peer-to-peer monitoring is designed to ensure high quality technical input and practical cross-learning opportunities in project implementation. However, it has its own challenges such as; partners might not freely comment on the project of other partner's project as this might cause conflict and affect their future relationship. In addition, as humanitarian situation of the country gets worsen, Partners will understandably less willing to allow their overstretched personnel to take part in peer monitoring. Thus, it will be difficult to expect more from peer to peer monitoring. As per the information from IP staff there was a time that they have cancelled a monitoring trip after they have agreed with HRF to participate in the monitoring trip due to other priorities in their own organization. Thus, it is challenging to HRF to depend on and expect more from peer to peer monitoring. However, whenever possible HRF facilitates and promotes peer to peer monitoring for technological and methodological cross-breeding and learning with in partners. As per HRF, this is the only opportunity that HRF initiates to enhance learning. Due to inadequate resources and large number of projects to be monitored, HRF does not have luxury of time and resource to follow up and crate a forum to widely spread best practices and lessons learned. If best practices are observed during monitoring HRF advises partners to keep record of those practices for future reference and to widely circulate on appropriate forums to partners who will be engaged in similar interventions. On the other hand, IP staffs stated that discussing monitoring findings at field office level staffs and sending a written report to the Head Office at Addis Ababa level is not facilitating learning because of high staff turnover at field office level than Head Office.

As one of the main purposes of monitoring is enhancing organizational learning, unless HRF facilitates sustainable learning opportunities among partners, it might be difficult to argue that HRF monitoring is effective.

4.8. Prioritizing Monitoring

As per the findings of the interview held with HRF M&E officer, the HRF strategy to compete with limited resources, priority is given to the location with large number of ongoing projects. This is logistic driven and priority is given to ongoing projects than closed projects so that HRF is able to influence implementing partners to take corrective actions if there are any. In addition, the priority is given to visit each and every project as much as possible and at least once during its lifetime irrespective of risk and criticality they are bearing.

4.9. Challenges of HRF Monitoring

As per the discussion held with HRF M&E staff, considering the resources HRF channeling through implementing partners, HRF monitoring should be encouraged and should be welcomed by OCHA Administrative section. However, these days, due to various urgencies with in OCHA, priority is not given to HRF, even though a specific vehicle was procured and a driver was recruited for the purpose of HRF monitoring. Even though there are two M&E focal persons from mid of the year 2018, HRF could not make monitoring missions for the

last three months. Hence, monitoring coverage is not improved the coverage due to unavailability of logistic support from administrative section of OCHA due to various reasons.

In addition, one of the outcomes from a focus group discussion held with OCHA field section was that, there were cases where OCHA field staffs monitored a project on behalf of HRF. One of the challenges during the monitoring was that the field officers could not make thorough monitoring of the project because of time pressure due to other responsibilities and priorities on the field. This was found to be a challenge to the HRF staff as well because of large number of projects to be monitored per a monitoring trip.

Furthermore, usually OCHA field officers travel to the sites where HRF supported projects are existing. In addition, there are places where OCHA has recruited field based staffs to the field offices. However, due to lack of integrity between HRF and OCHA field section, field officers might not be involved in the application review process. Hence, field officers do not have enough understanding about the profile of HRF supported projects some times to the extent whether HRF has supported a project or not in the location they are travelling. Thus, field officers do not have confidence to monitor and talk about the HRF supported projects if any discussion is raised at different regional forums and are unable to monitor the projects.

4.10. Best Practices of HRF Monitoring

As per the discussion with HRF M&E staff, as the nature of drought and malnutrition in the country are recurrent and cyclical, most of the time what is expected of humanitarian actors is known. Hence, implementers of humanitarian responses should plan ahead and should get prepared before malnutrition has occurred. However, monitoring of HRF supported project revealed that most of nutrition interventions are designed based on the actual children admission rate rather than estimates of children to be malnourished. In addition, the project starts late after children are malnourished and admitted to the health centers. Moreover, the projects that are started late will be closed or completed at the beginning of next hunger season. Therefore, it is concluded that HRF supported nutrition interventions are not addressing acute humanitarian need at critical time. Thus, it is recommended HRF M&E staffs in collaboration with the nutrition cluster initiated situation analysis to be conducted by each implementing partner in their operation area before the next hunger season and to design and submit a proposal to the HRF for funding. This is considered as best practices of HRF monitoring the monitoring findings are influencing nutrition cluster, implementing partners and humanitarian operation in the country.

CHAPTER 5: CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter presents the conclusions of the study and then makes recommendations.

5.2 Conclusions

5.2.1 Existing monitoring system of HRF

This study investigated that, even though, HRF has a monitoring process which follows through significant steps. i.e planning monitoring, inviting stakeholders, data gathering, conducting onsite monitoring, information, dissemination and follow up of monitoring findings, it is difficult to conclude that HRF supported projects are effectively monitored.

5.2.2 Quality of Data Gathering Process and Tools

Findings of this study revealed that, HRF has a monitoring template; technical staffs of implementing partner who participated in the monitoring mission are unable to provide technical feedbacks using the tool. Furthermore, HRF data gathering tool is not adequate to monitor performance of HRF supported project and capacity of implementing partner.

5.2.3. Timeliness of Information Generation and Follow up

With regard to timing for monitoring of HRF supported projects, the study found out that conducting monitoring at the critical times i.e at the startup, at the middle and end of project duration have their own advantages and limitations. However, the study revealed that, even though most of supported projects are time sensitive, HRF doesn't judge and pick appropriate timing for projects monitoring.

5.2.4. Inclusiveness or Participatory of HRF Monitoring System

This study identified major stakeholder's engagement in HRF monitoring process is found inadequate due to limited resources and personnel. As HRF M&E staffs are not technical persons, the monitoring of HRF fails to assess technical quality of the outcomes and would have been complimented with clusters active engagement.

5.2.5. Geographical and Sectoral Coverage of Monitoring

According to this study, achievement of HRF monitoring is measured only in terms of number of monitored projects regardless of other factors. However it was found relevant to consider factors such as: significance of allocated resources, risk, and criticality of the projects.

Therefore, taking in to consideration the above raised issues, HRF's strategy to prioritize location with high number of projects for monitoring is not adequate.

5.3 Recommendations

This study proved that, as one of the areas of project management, monitoring of HRF supported projects is vigorous. In addition to this, the HRF being a pooled funding mechanism is also accountable to donors who contribute to the Fund and to different stake holders. Thus, it is recommended to enhance the existing monitoring system of HRF to better **ensure accountability** to different stake holders and enhance learning.

Logistic was identified as a major challenge of HRF as per this study. Thus, it is recommended to **secure or procure sufficient logistic** to be dedicated to the HRF. Furthermore, it is recommended to extend the **project duration** to maximum of one year to value the resource HRF is committing and to guarantee accountability. Finally **comprehensiveness** of monitoring findings with relevant stakeholders to influence humanitarian interventions is recommended as high strength of HRF projects.

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Annexes

Annex 1 - Interview Questions

1. To describe the existing monitoring evaluation process
 - 1.1. What are the processes of HRF monitoring evaluation system? (Interview)
 - 1.2. How do you plan to conduct field level monitoring evaluation? Do you have periodic plan? Monthly/Quarterly/Semi-annually (Interview)
 - 1.3. Are there monitoring evaluation guidelines or set minimum standards to be referred during monitoring? (Interview)
 - 1.4. What do you monitor during field visit Output/Outcome/process (Interview/monitoring reports review)
2. To review the quality of information gathering process and tools
 - 2.1. What is data gathering process? (Interview)
 - 2.2. What are the tools for data gathering? (Interview)
 - 2.3. How do you triangulate the collected data with other sources of data to ensure quality? (Interview)
 - 2.4. How do you analyse the collected data? (Interview)
3. To assess the timeliness of information generation
 - 3.1. At what specific time do you do field level monitoring and its evaluation? At the beginning, middle, end of project implementation (Interview)
 - 3.2. How do you follow up your monitoring evaluation findings? (Interview)
 - 3.3. How long does it take to analyse and disseminate monitoring findings to relevant stake holders/How soon the findings of monitoring are evaluated and disseminated to relevant stake holders? (Interview)
 - 3.4. What are modes of communication for evaluations of monitoring findings with implementing partners? (Interview, monitoring report review, meeting notes review...)
 - 3.5. Does the information disseminated assist implementing partners to take corrective action in time (Interview with HRF, M&E focal persons of Implementing partners)
4. To examine inclusiveness (participatory) of the system
 - 4.1. Who are stakeholders of HRF? (document review and Interview)

- 4.2. Do all relevant stakeholders participate in field level evaluation of monitoring?
(document review and Interview)
- 4.3. Are there any forums to take lessons learned and sharing of best practices between stakeholders and partners to be replicated for future interventions?
(documents i.e monitoring evaluation reports and Interview with HRF team and M&E focal staffs of IPs)
5. To study geographical and sectoral coverage of field level monitoring evaluation
 - 5.1. How many projects were supported by HRF during 2016-2018(document review)
 - 5.2. Out of the supported projects, how many projects were monitored and the monitor evaluated? (HRF annual report)
 - 5.3. What are sectoral and regional coverage of monitoring evaluation? (Document review and analysis)
 - 5.4. How do you prioritize your field level monitoring evaluation and what are the factors? (Interview with HRF)
6. What are the challenges and best practices of HRF Ethiopia monitoring evaluation?
(Interview and document review)